

PRE-QUALIFICATION OF
DESIGN-BUILD ENTITIES
SEEKING TO BID ON TRANSIT
PROJECTS

*Department of
Industrial Relations*

TABLE OF CONTENTS

PAGE

Introduction and Overview.....1

I. IMPORTANT PROVISIONS OF PUBLIC CONTRACT
CODE SECTION 20209.5 ET SEQ.....1

II. ROLE OF THE DEPARTMENT OF INDUSTRIAL RELATIONS.....1

III. AN OVERVIEW OF THE DOCUMENTS IN THIS PACKAGE.....1

IV. APPEAL PROCEDURE.....2

V. APPLICATION OF THE PUBLIC RECORDS ACT2

VI. SUBMISSION REQUIREMENTS.....3

VII. WHAT IS A DESIGN-BUILD ENTITY AND WHO IS BEING PRE-QUALIFIED?.....3

Pre-Qualification Questionnaire.....1

I. INFORMATION ABOUT DESIGN-BUILD ENTITY MEMBERS.....1

 I(A) INFORMATION ABOUT THE DESIGN-BUILDER.....3

 I(B) INFORMATION ABOUT THE GENERAL CONTRACTOR MEMBER(S) OF
THE DESIGN-BUILDER.....7

 I(C) INFORMATION ABOUT THE PRINCIPAL ENGINEER(S).....12

 I(D) INFORMATION ABOUT THE ARCHITECT16

 I(E) INFORMATION ABOUT HEAVY AND HIGHWAY SUBCONTRACTORS.....20

 I(F) INFORMATION ABOUT OTHER SUBCONTRACTORS.....25

II. ESSENTIAL REQUIREMENTS FOR THE DESIGN-BUILD ENTITY30

III. SCORED QUESTIONS.....35

 III(A) SCORED QUESTIONS FOR THE DESIGN-BUILDER.....35

 III(B) SCORED QUESTIONS FOR THE GENERAL CONTRACTOR MEMBER(S) OF

THE DESIGN-BUILDER.....	43
III(C) SCORED QUESTIONS FOR THE PRINCIPAL ENGINEER.....	51
III(D) SCORED QUESTIONS FOR THE ARCHITECT OF RECORD.....	55
III(E) SCORED QUESTIONS FOR HEAVY AND HIGHWAY SUBCONTRACTORS.....	59
III(F) SCORED QUESTIONS FOR OTHER SUBCONTRACTOR(S).....	67
IV. RECENT CONSTRUCTION PROJECTS COMPLETED.....	74
V. ORGANIZATION AND MANAGEMENT APPROACH.....	79
CERTIFICATION.....	80

**Instructions For Transit Operators Re:
Interviewing The General Contractor’s References**

Model Interview Questions

Example Request For Pre-qualification Of Design-Build Entities

DIR’s Suggested Scoring

PRE-QUALIFICATION QUESTIONNAIRE: PART I.....	1
PRE-QUALIFICATION QUESTIONNAIRE: PART II.....	1
PRE-QUALIFICATION QUESTIONNAIRE: PART III.....	3
PRE-QUALIFICATION QUESTIONNAIRE: PART IV.....	6
PRE-QUALIFICATION QUESTIONNAIRE: PART V.....	16

**Sources For Verification Of Information
Given By Design-Build Entities**

INTRODUCTION
AND
OVERVIEW

I. IMPORTANT PROVISIONS OF PUBLIC CONTRACT CODE SECTION 20209.5 et seq.

In 2000, the Legislature enacted Assembly Bill 958 (AB 958) which allows Transit Operators (as defined therein) to enter into design-build contracts for the design and construction of transit projects, including rail projects that exceed \$50,000,000. The statute is codified in Public Contract Code sections 20209.5 et seq. and describes certain requirements that must be met if a Transit Operator chooses to use the design-build delivery methodology.

The Transit Operators using this delivery method must establish a procedure to pre-qualify design-build entities using a “standardized questionnaire” developed by the Director of the Department of Industrial Relations (DIR). (Pub Cont. Code § 20209.7 (e).) The pre-qualification questionnaire is to be completed by the design-build entity and verified under oath. Once the design-build entity is successfully pre-qualified, it then can submit a proposal (bid) to the Transit Operator.

II. ROLE OF THE DEPARTMENT OF INDUSTRIAL RELATIONS

Public Contract Code § 20209.7 (e) required DIR to develop a standardized pre-qualification questionnaire. In developing the pre-qualification questionnaire DIR was required to “consult with the construction industry, transit operators, and other affected parties”.

DIR held a series of meetings in Sacramento with representatives of public agencies and other interested parties. DIR’s initial draft of a questionnaire was revised after each meeting, and each revised draft was discussed at the next meeting, leading to additional revisions. The pre-qualification questionnaire provided in this package is the result of those meetings.

DIR’s pre-qualification questionnaire is intended to address the minimum general requirements that should be met by design-build entities who wish to submit proposals for design-build projects developed by Transit Operators. Therefore, although Transit Operators may not delete questions from DIR’s pre-qualification questionnaire, Transit Operators may wish to supplement this pre-qualification questionnaire with additional questions to be answered by design-build entities.

III. AN OVERVIEW OF THE DOCUMENTS IN THIS PACKAGE

Included in this package are:

(1) DIR’s pre-qualification questionnaire, to be sent to design-build entities. The questionnaire is designed to obtain information about the contractors, architects and engineers that make up the design-build entity, as well as heavy and highway subcontractors, and returned to the Transit Operators prior to the deadline set forth in the request for qualifications.¹

¹ The documents included in this package can be found at the Department of Industrial Relations web site, www.dir.ca.gov. Click on “Data bases.”

(2) A suggested series of questions to be used by representatives of Transit Operators when interviewing persons who are identified by design-builders as their “references” for projects completed in the past, as well as suggested procedures to be used for conducting reference interviews. Note however, that each Transit Operator may establish its own questions and procedures to be used for this purpose.

(3) An example request for pre-qualification of design-build entities.

(4) A suggested scoring system for rating the answers given by the design-build entities and by their references. Note however, that each Transit Operator may devise its own scoring system and its own passing scores for different portions of the questionnaire and for the interviews.

(5) A list of sources of information that may be used by Transit Operators to verify the accuracy of many of the responses to the questions in the pre-qualification questionnaire.²

IV. APPEAL PROCEDURE

Public Contract Code sections 20209.5 et seq. does not contain a procedure whereby a design-build entity that does not get pre-qualified can appeal the Transit Operator’s determination. Therefore, each Transit Operator is free to decide whether or not it wishes to adopt its own appeal procedure. A sample appeal procedure can be found in Public Contract Code section 20101. However, there are a number of laws and court decisions that affect the nature of an appeal hearing provided by a public agency. Each Transit Operator should consult its own attorneys for advice in this area.

V. APPLICATION OF THE PUBLIC RECORDS ACT

Public Contract Code section 20209.7(e)(2) provides that: “Information that is not a public record pursuant to the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of Title I of the Government Code) shall not be open to public inspection.” Therefore, Transit Operators should not make public those records provided by design-build entities that are not public records under the Public Records Act. Transit Operators should consult their own attorneys when a public records act request is made to determine what must be divulged.

² The information that will be given to public agencies by design-build entities seeking pre-qualification is provided under oath, with the understanding that the intentional providing of false information is a crime and grounds for disqualification. The design-build entity should inform the Transit Operator if any information provided changes.

VI. SUBMISSION REQUIREMENTS

The pre-qualification questionnaire must be signed under penalty of perjury in the manner designated on the certification page, by individuals with the legal authority to bind all members of the Design-Build Entity.

If any information provided by a Design-Build Entity becomes inaccurate, the Design-Build Entity must immediately notify the School District and provide updated accurate information in writing, under penalty of perjury.

VII. WHAT IS A DESIGN-BUILD ENTITY AND WHO IS BEING PRE-QUALIFIED?

The Design-Build Entity consists of the Design-Builder and any subcontractors the Design-Builder wishes to include. (But note that heavy and highway subcontractors must be pre-qualified as part of the Design-Build Entity.) A Design-Build Entity is defined by Education Code Section 17250.15 (c) as: “a corporation, limited partnership or other association that is able to provide appropriately licensed contracting, architectural, and engineering services as needed pursuant to a design-build contract.”

This definition allows a Design-Builder wide latitude in the composition of its design-build entity. The Design-Builder may have all necessary design and construction capabilities “in house” or the Design-Builder may subcontract for these services. DIR’s pre-qualification questionnaire seeks information about the contractor and design professionals that comprise the “Design-Build Entity”, whether all of these services are provided solely by the Design-Builder “in house”, or whether some of these services are subcontracted. All Design-Build Entity members must sign the pre-qualification questionnaire.

Design-Builder:

The Design-Builder is the entity that will enter into the design-build contract with the Transit Operator. The Design-Builder may be a newly formed corporation, joint venture, or partnership, or it may have already been in existence for some time. The Design-Builder will need to have a California general contractor’s license in its name prior to commencing work on the project.

General Contractor Member(s) of the Design-Builder

Recognizing that many Design-Builders are organizations of contractors, engineers and architects that are only recently formed in order to bid on specific transit projects, and have only recently obtained a general contractor’s license in the Design-Builder’s name for the purpose of working on a specific transit project, the questionnaire asks questions about the General Contractor Member(s) of the Design-Builder in order to obtain information about the Design-Builder’s contracting experience. If there is more than one General Contractor Member of the Design-Builder, copies of Sections I(B) and III(B) should be attached.

Engineers:

The pre-qualification questionnaire asks questions about the “Principal Engineer(s).” The “Principal Engineer” is the engineer of record who will have primary responsibility for design work under the contract. If there is more than one principal engineer, copies of Sections I(C) and III(C) should be attached.

Architects:

The pre-qualification questionnaire asks questions about the “Architect of Record” whose stamp will appear on project documents. If no Architect’s stamp will appear on project documents, these Sections I(D) and III(D) need not be filled out.

Heavy and Highway Subcontractors:

All heavy and highway subcontractors must be pre-qualified. The Design-Builder may perform all heavy and highway work in the contract or may subcontract some of this work. If any heavy and highway work is subcontracted, Sections I(E) and III(E) must be filled out by the potential subcontractors. The Design-Builder may already know which heavy and highway subcontractors it will work with, or as an alternative, the Design-Builder may pre-qualify several heavy and highway subcontractors for which it will later accept bids from to perform these services by making copies of Sections I(E), III(E). These heavy and highway subcontractors would be entitled to the protection contained in Chapter 4 (commencing with Section 4100) of Part 1 of Division 2 of the Public Contract Code.

Heavy and Highway work includes all excavating, grading, trenching, paving, surfacing, cement and concrete work, on Transit projects.

Other Subcontractors:

The design-builder may wish to pre-qualify other (non-heavy and highway) subcontractors that may be important to the project, or the Transit Operator may require that certain other subcontractors be pre-qualified. Sections I(F) and III(F) are provided for this purpose.

Subcontractors who are not pre-qualified as part of the design-build entity must be obtained by the Design-Builder by first providing public notice of the availability of work to be subcontracted and providing a fixed date and time on which the subcontracted work will be awarded. In addition, those subcontractors are entitled to the protections contained in Chapter 4 (commencing with Section 4100) of Part 1 of Division 2 of the Public Contract Code.

PRE-QUALIFICATION QUESTIONNAIRE

I. INFORMATION ABOUT DESIGN-BUILD ENTITY MEMBERS

Contact Information

Design-Builder Name: _____

General Contractor Member Name: _____

Principal Engineer Member Name: _____

Design-Builder Contact Person: _____

Address: _____

Phone: _____ Fax: _____

5(b) If the Design-Builder is a sole proprietorship, please complete the following:

Owner	Years as Owner

5(c) If the Design-Builder is a joint venture or partnership, provide the following for each member of the joint venture or each partner.
(Attach additional pages if necessary)

Name of Individual Or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the Design-Builder during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If “yes,” explain on a separate page.

7. Is the Design-Builder 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 page.

8. State the Design-Builder’s gross revenues for each of the last three years:

YEAR: _____ YEAR: _____ YEAR: _____

\$ _____ \$ _____ \$ _____

9. List all California contractor license numbers, classifications and expiration dates currently held by the Design-Builder:

License Number	Trade Classification	Date Issued	Expiration Date

10. Has the Design-Builder changed names or license numbers in the past five years?

Yes No

If “yes,” explain on a separate page.

11. Has any owner, CSLB qualifier or corporate officer of the Design-Builder operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

Yes No

If “yes,” explain on a separate page.

12. Surety Information for Design-Builder:

Bonding Co./Surety: _____

Surety Agent: _____

Agent Address: _____

Telephone No.: _____

13. List all other sureties (name and full address) that have written bonds for the Design-Builder during the last five years, including periods during which each wrote the bonds:

Surety	Address	Periods of Coverage

I(B) INFORMATION ABOUT THE GENERAL CONTRACTOR MEMBER(S) OF THE DESIGN-BUILDER

The term “General Contractor” means the member of the Design-Builder that will have the primary responsibility for the construction of the project. Duplicate and submit for each General Contractor if more than one.

1. Name of General Contractor: _____
2. Date of company formation or incorporation: _____
3. State of formation or incorporation: _____
4. How many persons does the General Contractor currently employ?: _____

5(a) If the General Contractor is a corporation, provide the following:
 Provide information for each officer of the corporation and owners of 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

5(b) If the General Contractor is a sole proprietorship, please complete the following:

Owner	Years as Owner

- 5(c) If the General Contractor is a joint venture or partnership, provide the following for each member of the joint venture or each partner.
 (Attach additional pages if necessary)

Name of Individual Or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the General Contractor during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If “yes,” explain on a separate page.

7. Is the General Contractor 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 page.

8. State the General Contractor’s gross revenues for each of the last three years:

YEAR: _____ YEAR: _____ YEAR: _____

\$ _____ \$ _____ \$ _____

9. List all California contractor license numbers, classifications and expiration dates currently held by the General Contractor:

License Number	Trade Classification	Date Issued	Expiration Date

10. Has the General Contractor changed names or license numbers in the past five years?

Yes No

If “yes,” explain on a separate page.

11. Has any owner, CSLB qualifier or corporate officer of the General Contractor operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

Yes No

If “yes,” explain on a separate page.

12. Surety Information for General Contractor:

Bonding Co./Surety: _____

Surety Agent: _____

Agent Address: _____

Telephone No.: _____

13. List all other sureties (name and full address) that have written bonds for the General Contractor during the last five years, including periods during which each wrote the bonds:

Surety	Address	Periods of Coverage

I(C) INFORMATION ABOUT THE PRINCIPAL ENGINEER(S)

The Principal Engineer is the engineer of record who will have primary responsibility for design work under the contract. Attach copies if more than one principal engineer.

1. Provide the following information:

Name: _____

License Number: _____

Engineering Discipline: _____

Years in Practice: _____

2. If the firm of the Principal Engineer is different from that of the Design-Builder, please answer the following:

2(a) Date of company formation or incorporation: _____

2(b) State of formation or incorporation: _____

2(c) How many persons does the Engineer's firm currently employ?: _____

2(f) If the Principal Engineer’s firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

2(g) Has there been any change in ownership of the Principal Engineer’s firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If “yes,” explain on a separate page.

- 2(h) Is the Principal Engineer's firm a subsidiary, parent, holding company or affiliate of another firm?

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

- 2(i) Has any corporate officer or owner of the Principal Engineer's firm worked for any other engineering firms in the past five years?

(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 page.

- 2(k) Has the Principal Engineer's firm changed names in the past five years?

Yes No

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

3. Attach a copy of the Principal Engineer's resume.

I(D) INFORMATION ABOUT THE ARCHITECT

“Architect of Record” shall mean the Architect whose stamp will appear on project documents. Do not answer this section if an Architect’s Stamp will not appear on project documents. Attach copies if more than one Architect of Record.

1. If the Architect of Record's firm is different from that of the Design-Builder, please answer the following:

1(a) Date of company formation or incorporation: _____

1(b) State of formation or incorporation: _____

1(c) How many persons does the Architect’s firm currently employ?: _____

- 1(f) If the Architect's firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.
(Attach additional pages if necessary)

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

- 1(g) Has there been any change in ownership of the Architect's firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If "yes," explain on a separate page.

- 1(h) Is the Architect's firm a subsidiary, parent, holding company or affiliate of another firm?

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

- 1(i) Has any corporate officer or owner of the Architect's firm, worked for any other architectural firms in the past five years?

(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 page.

- 1(j). Has the Architect's firm changed names in the past five years?

Yes No

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

2. Provide the following information for all known Architects who will be designing the project:
(Attach additional pages if necessary)

Architect	License Number	Years in Practice

3. Attach a copy of the Architect of Record's resume.

I(E) INFORMATION ABOUT HEAVY AND HIGHWAY SUBCONTRACTORS

Attach copies of I(E) for each Heavy and Highway subcontractor if multiple subcontractors are being prequalified.

- 1. Name of Heavy and Highway Subcontractor: _____
- 2. Date of company formation or incorporation: _____
- 2. State of formation or incorporation: _____
- 4. How many persons does the Heavy and Highway Subcontractor currently employ?: _____

5(c) If the Heavy and Highway Subcontractor is a joint venture or partnership, provide the following information for each member of the joint venture or each partner:

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the Heavy and Highway Subcontractor during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If “yes,” explain on a separate page.

7. Is the Heavy and Highway Subcontractor 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 page.

8. State the Heavy and Highway Subcontractor's gross revenues for each of the last three years:

YEAR: _____ YEAR: _____ YEAR: _____
 \$ _____ \$ _____ \$ _____

9. List all California contractor license numbers, classifications and expiration dates currently held by the Heavy and Highway Subcontractor:

License Number	Classification	Date Issued	Expiration Date

10. Has the Heavy and Highway Subcontractor changed names or license numbers in the past five years?

Yes No

If "yes," explain: on a separate page.

11. Has any owner, CSLB qualifier or corporate officer of the Heavy and Highway Subcontractor operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

Yes No

If "yes," explain on a separate page.

12. Surety Information for Heavy and Highway Subcontractor:

Bonding Co./Surety: _____

Surety Agent: _____

Agent Address: _____

Telephone No.: _____

13. List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the periods during which each wrote the bonds:

Surety	Address	Periods of Coverage

I(F) INFORMATION ABOUT OTHER SUBCONTRACTORS

If the Design-Builder chooses or if the Transit Operator requires, other (non-heavy and highway) subcontractors may be pre-qualified as part of the Design-Build Entity. Attach copies of I(F) for each subcontractor.

1. Name of Subcontractor: _____
2. Date of company formation or incorporation: _____
3. State of formation or incorporation: _____
4. How many persons does the Subcontractor currently employ?: _____

5(a) If the Subcontractor is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

5(b) If the Subcontractor is a sole proprietorship, complete the following:

Owner	Years as Owner

5(c) If the Subcontractor is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the Subcontractor during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If “yes,” explain on a separate page.

7. Is the Subcontractor 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 page.

8. State the Subcontractor’s gross revenues for each of the last three years:

YEAR: _____ YEAR: _____ YEAR: _____
 \$ _____ \$ _____ \$ _____

9. List all California contractor license numbers, classifications and expiration dates currently held by the Subcontractor:

License Number	Classification	Date Issued	Expiration Date

10. Has the Subcontractor changed names or license numbers in the past five years?

Yes No

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

11. Has any owner, partner, CSLB qualifier or corporate officer of the Subcontractor operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

Yes No

If “yes,” explain on a separate page.

12. Surety Information for Subcontractor:

Bonding Co./Surety: _____

Surety Agent: _____

Agent Address: _____

Telephone No.: _____

13. 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:

Surety	Address	Period of Coverage

II. ESSENTIAL REQUIREMENTS FOR THE DESIGN-BUILD ENTITY

The term "Associates" shall mean all of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
 - All current officers of a contractor which is a corporation.
 - All current partners of a contractor which is a partnership.
 - All current joint venturers of the joint venture contractor which is seeking prequalification.
1. Does the Design-Builder and each proposed Subcontractor possess a current California contractor's license for the project for which it intends to submit a proposal or intend to obtain a license before commencing work?
 Yes No
 2. Does the Design-Builder have a liability insurance policy with a policy limit of at least \$5,000,000 per occurrence and \$10,000,000 aggregate from a California admitted company?
 Yes No

If yes, provide the following information. (Attach a separate page if more than one policy.)

Insurance Company

Policy Number

Policy limit per occurrence

Aggregate policy limit

3. Does the Design-Builder and each proposed Subcontractor have current California workers' compensation insurance policies as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq. or do they intend to obtain such insurance prior to commencing work?

Yes No

Provide the following information. (Attach a separate page if more than one policy)

Insured

Carrier

Policy Number

4. Has the latest copy of an audited financial statement (no more than two years old) with accompanying notes been attached for the Design-Builder or each member of the Design-Builder? (An audited financial statement with accompanying notes of a parent company guarantor may be substituted. A financial statement that is not audited is not acceptable. A letter verifying availability of a line of credit is not a substitute for the required financial statement.)

Yes No

5. Has 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 been attached, which states that the Design Builder's current bonding capacity is sufficient to provide payment and performance bonds in the amount required by the RFQ? (Statement must be from the surety company, not an agent or broker.)

Yes No

6. Has any contractor license held by the Design-Builder or its associates, the General Contractor Member(s) of the Design-Builder or their associates, or any of the proposed Subcontractors or their associates, been revoked or suspended within the last five (5) years?

Yes No

7. Has a surety firm completed a contract or paid for completion of a contract on behalf of any member of the Design-Build Entity because they were terminated by the project owner within the last five (5) years?

Yes No

8. Within the last five years was the Design-Builder, the General Contractor Member(s) of the Design-Builder or any proposed Subcontractor declared ineligible to bid on a public works contract, to be awarded a public works contract, or to 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

9. Has any member of the Design-Build Entity (contractors, architects, engineers, subcontractors or others) or any member's associates, ever been convicted of a crime involving the awarding of a contract for a government project, or the bidding or performance of a government contract within the last five (5) years?

Yes No

10. Do all Architects and Engineers who are expected to work on the project possess current California professional licenses for the architectural and engineering services which they intend to provide?

Yes No

11. Are all Principal Engineers covered by a professional liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$5,000,000 aggregate from a California admitted company that provides coverage for work on a design-build contract?

Yes No

If yes, provide the name of the insurance company, policy number, and policy limits. (Attach a separate page if more than one policy.)

Insurance Company

Policy Number

Policy limit per occurrence

Aggregate policy limit

12. Has any professional license held by any Architect who will provide services been revoked at any time in the last five years?

Yes No

13. Has any professional license held by any Engineer who will provide services been revoked at any time in the last five years?

Yes No

14. Does the Design-Builder, the General Contractor Member(s) of the Design-Builder and each proposed Subcontractor seeking prequalification, know and understand their obligations regarding the employment of apprentices on public works under Labor Code section 1777.5 and California Code of Regulations, Title 8, section 230.1, and do they intend to comply with these requirements, including the requirement, if applicable, to request the dispatch of apprentices from an apprenticeship program approved by the California Apprenticeship Council?

Yes No

15. Will the Design-Builder ensure that its subcontractors responsible for specialty construction work use only qualified skilled labor personnel (such as heat and frost insulators, asbestos workers, boilermakers, iron shop builders, blacksmiths, forgers, bricklayers, electrical workers, elevator constructors, iron workers, plumbers, pipe fitters, plasterers, cement masons, painters, roofers, waterproofers and sheet metal workers) to perform such work?

Yes No

III. SCORED QUESTIONS

III(A) SCORED QUESTIONS FOR THE DESIGN-BUILDER

The term “Associates” shall mean all of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the Design-Builder.
- All current officers of a Design-Builder which is a corporation.
- All current partners of a Design-Builder which is a partnership.
- All current joint venturers of the joint venture Design-Builder which is seeking prequalification.

A-1 How many years has the Design-Builder been licensed in California?

Years: _____

A-2. Is the Design-Builder or its associates currently the debtor in a bankruptcy case?

Yes

No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Case Number

Bankruptcy Court

Date Filed

A-3. Was the Design-Builder or its associates 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 A-2, above)

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____	_____	_____
Case Number	Bankruptcy Court	Date Filed

A-4. At any time in the last five years has the Design-Builder or its associates been assessed liquidated damages of more than \$50,000 on a construction contract with either a public or private owner?

Yes No

If yes, explain on a separate page, identifying all such projects by owner, owner’s address, name of entity against whom assessment was made, 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.

A-5. Has the Design-Builder or its associates ever been declared by an owner, or found by an arbitrator or court to be in default on a construction contract?

Yes No

If “yes,” explain on a separate page.

A-6. In the last five years has the Design-Builder or its associates, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No

If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

A-7. Has the Design-Builder or its associates ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

Yes No

If “yes,” on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between Design-Builders and owners of projects. You need not include information about disputes with suppliers, other contractors, or subcontractors. You need not include information about “pass-through” disputes in which the actual dispute is between a subcontractor and a project owner.)

- A-8. In the past five years has any claim in excess of \$50,000 been filed in court, arbitration, or other dispute resolution proceeding against the Design-Builder or its associates concerning their work on a construction project?

Yes No

If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- A-9. In the past five years has the Design-Builder or its associates made any claim in excess of \$50,000 against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes No

If “yes,” on a separate page identify the claim by providing the name of claimant, 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- A-10. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Design-Builder or its associates due to non-payment or contractor losses?

Yes No

If “yes,” on a separate page give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal.

A-11. Has the Design-Builder or its associates 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 entity?

Yes No

If “yes,” explain on a separate page, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date and the basis for the finding.

A-12. Has the Design-Builder or its associates ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No

If “yes,” explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

A-13. Has the Design-Builder or its associates 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 page, the person or persons convicted, the court and case number, the crimes, and the year convicted.

A-14. During the last five years, has there ever been a period of time when the Design-Builder or its associates had no surety bond in place during a public construction project when one was required?

Yes No

If yes, indicate the period during which no surety bonds were in place, name of entity without the surety bond, the name of project owner, and if coverage was denied the date coverage was denied and the name of the company that denied coverage.

A-15. Has CAL OSHA cited and assessed penalties against the Design-Builder or its associates 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,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision.

A-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Design-Builder or its associates in the past five years?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

Yes No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

A-17. Has the EPA, any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the Design-Builder or its associates or the owner of a project during the time in which the preceding parties were performing on a contract in the past five years?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

Yes No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

A-18. How often does the Design-Builder require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

A-19. List the Design-Builder'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.)

Year: _____	EMR: _____
Year: _____	EMR: _____
Year: _____	EMR: _____

If your EMR for any of these three years is 1.00 or higher you may attach a letter of explanation.

A-20. Within the last five years has there ever been a period when the Design-Builder or its associates 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 page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the Design-Builder for the last five years. (If the General Contractor has been in 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 business.)

A-21. Has there been more than one occasion during the last five years in which the Design-Builder or its associates was required to pay either back wages or penalties for failure to comply with the state's prevailing wage laws?

Yes No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, 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 were assessed.

A-22. During the last five years, has there been more than one occasion in which the Design-Builder or its associates have been penalized or required to pay back wages for failure to comply with the Federal Davis-Bacon prevailing wage requirements?

Yes No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, 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 were assessed.

A-23. If the Design-Builder operates its own State-approved apprenticeship program, provide the following information on a separate page:

- (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by 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.

A-24. At any time during the last five years, has the Design-Builder or its associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

Yes No

If "yes," provide the date of the findings and attach a copy of the final decision.

Date of Findings

A-25. Do agreements exist between the Design-Builder and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticeable crafts which may be employed by the Design-Builder on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticeable craft within the period of October 1995 to October 2000.)

Yes No

A-26. In the last 5 years, has the Design-Builder completed one or more contracts for construction of transportation facilities in the State of California comparable to the project identified in the Request for Qualifications?

Yes No

If "yes" how many? _____

A-27. In the past 5 years, has the Design-Builder completed one or more contracts for construction of transportation facilities in the United States comparable to the project identified in the Request for Qualifications?

Yes No

If "yes" how many? _____

A-28. In the last 5 years, has the Design-Builder completed one or more design-build contracts for construction of transportation facilities in the United States (including California) comparable to the project identified in the Request for Qualifications?

Yes No

If "yes" how many? _____

A-29. Please fill in the following blanks based on the Design Builder's attached financial statement. If each member of the Design-Builder attached financial statements, add assets and liabilities for all.

Current Assets:	\$ _____
Current Liabilities:	\$ _____
Total Net Worth:	\$ _____
Current Ratio (Assets/Liabilities):	_____
Working Capital (Current Assets - Current Liabilities):	\$ _____

III(B) SCORED QUESTIONS FOR THE GENERAL CONTRACTOR MEMBER(S) OF THE DESIGN-BUILDER.

The term “General Contractor” means the member of the Design-Builder that will have the primary responsibility for the construction of the project. Duplicate and submit for each General Contractor if more than one.

The term “Associates” shall mean all of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers of a contractor which is a corporation.
- All current partners of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking prequalification.

B-1 How many years has the General Contractor been licensed in California?

Years: _____

B-2. Is the General Contractor or its associates currently the debtor in a bankruptcy case?

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____ _____ _____
Case Number Bankruptcy Court Date Filed

B-3. Was the General Contractor or its associates 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 A-2, above)

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____ _____ _____
Case Number Bankruptcy Court Date Filed

- B-4. At any time in the last five years has the General Contractor or its associates been assessed liquidated damages of more than \$50,000 on a construction contract with either a public or private owner?

Yes No

If yes, explain on a separate page, identifying all such projects by owner, owner's address, name of entity against whom assessment was made, 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.

- B-5. Has the General Contractor or its associates ever been declared by an owner, or found by an arbitrator or court to be in default on a construction contract?

Yes No

If "yes," explain on a separate page.

- B-6. In the last five years has the General Contractor or its associates, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No

If "yes," explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- B-7. Has the General Contractor or its associates ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

Yes No

If "yes," on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between contractors and owners of projects. You need not include information about disputes with suppliers, other contractors, or subcontractors. You need not include information about "pass-through" disputes in which the actual dispute is between a subcontractor and a project owner.)

- B-8. In the past five years has any claim in excess of \$50,000 been filed in court, arbitration or other dispute resolution proceeding against the General Contractor or its associates concerning their work on a construction project?

Yes No

If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- B-9. In the past five years has the General Contractor or its associates made any claim in excess of \$50,000 against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes No

If “yes,” on a separate page identify the claim by providing the name of claimant, 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- B-10. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the General Contractor or its associates due to non-payment or contractor losses?

Yes No

If “yes,” on a separate page give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal.

- B-11. Has the General Contractor or its associates 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 entity?

Yes No

If “yes,” explain on a separate page, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date and the basis for the finding.

B-12. Has the General Contractor or its associates ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No

If “yes,” explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

B-13. Has the General Contractor or its associates 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 page, the person or persons convicted, the court and case number, the crimes, and the year convicted.

B-14. During the last five years, has there ever been a period of time when the General Contractor or its associates had no surety bond in place during a public construction project when one was required?

Yes No

If yes, indicate the period during which no surety bonds were in place, name of entity without the surety bond, the name of project owner, and if coverage was denied the date coverage was denied and the name of the company that denied coverage.

B-15. Has CAL OSHA cited and assessed penalties against the General Contractor or its associates 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,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision.

B-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the General Contractor or its associates in the past five years?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

Yes No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

B-17. Has the EPA, any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the General Contractor or its associates or the owner of a project during the time in which the preceding parties were performing on a contract in the past five years?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

Yes No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

B-18. How often does the General Contractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

B-19. List the General Contractor’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.)

Year: _____	EMR: _____
Year: _____	EMR: _____
Year: _____	EMR: _____

If your EMR for any of these three years is 1.00 or higher you may attach a letter of explanation.

B-20. Within the last five years has there ever been a period when the General Contractor or its associates 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 page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the General Contractor for the last five years. (If the General Contractor has been in 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 business.)

B-21. Has there been more than one occasion during the last five years in which the General Contractor or its associates was required to pay either back wages or penalties for failure to comply with the state's prevailing wage laws?

Yes No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, 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 were assessed.

B-22. During the last five years, has there been more than one occasion in which the General Contractor or its associates have been penalized or required to pay back wages for failure to comply with the Federal Davis-Bacon prevailing wage requirements?

Yes No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, 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 were assessed.

B-23. If the General Contractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

- (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by 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.

B-24. At any time during the last five years, has the General Contractor or its associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

Yes No

If “yes,” provide the date of the findings and attach a copy of the final decision.

Date of Findings

B-25. Do agreements exist between the General Contractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticable crafts which may be employed by the General Contractor on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticeable craft within the period of October 1995 to October 2000.)

Yes No

B-26. In the last 5 years, has the General Contractor completed one or more contracts for construction of transportation facilities in the State of California comparable to the project identified in the Request for Qualifications?

Yes No

If “yes” how many? _____

B-27. In the past 5 years, has the General Contractor completed one or more contracts for construction of transportation facilities in the United States comparable to the project identified in the Request for Qualifications?

Yes No

If "yes" how many? _____

B-28. In the last 10 years, has the General Contractor completed one or more design-build contracts for construction of transportation facilities in the United States (including California) comparable to the project identified in the Request for Qualifications?

Yes No

If "yes" how many? _____

III(C) SCORED QUESTIONS FOR THE PRINCIPAL ENGINEER

The Principal Engineer is the engineer of record who will have primary responsibility for design work under the contract.

“Firm” shall mean the firm that employs the Principal Engineer.

The nature of the project will dictate the discipline(s) of the Principal Engineer(s). Attach additional copies if more than one Principal Engineer.

Name of Principal Engineer: _____

Name of Firm: _____

C-1. How many years has the Principal Engineer been licensed and practicing in California?

Years: _____

C-2. Is the firm currently the debtor in a bankruptcy case?

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____ _____ _____
Case Number Bankruptcy Court Date Filed

C-3. Was the 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 C-2, above)

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____ _____ _____
Case Number Bankruptcy Court Date Filed

- C-4. In the past five years has any claim in excess of \$50,000 been filed in court, arbitration, or other dispute resolution proceeding against the Principal Engineer or the firm concerning its engineering work on a project?

Yes No

If “yes,” 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 and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- C-5. In the last five years has the Principal Engineer or the firm been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No

If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- C-6. Has the Principal Engineer or the firm ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

Yes No

If “yes,” on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

- C-7. In the past five years has the Principal Engineer or the firm made any claim in excess of \$50,000 against a project owner concerning engineering work on a project and filed that claim in court or arbitration?

Yes No

If “yes,” on separate page 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- C-8. In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Principal Engineer or the firm based on non-payment or losses?

Yes No

If “yes,” on separate page give name the insurance carrier, the form of insurance and the year of the refusal.

C-9. Has the Principal Engineer or the firm 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,” on a separate page identify who was found liable or convicted, the name of the public agency, the court and case number, the date of the investigation and the grounds for the finding.

C-10. Has the Principal Engineer or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No

If “yes,” on a separate page identify who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

C-11. Has the Principal Engineer or the firm ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes No

If “yes,” on a separate page identify who was convicted, the court and case number, the crimes and the year convicted.

C-12. Has the Department of Consumer Affairs taken any disciplinary action against the Principal Engineer?

Yes No

If yes, please explain on a separate page.

C-13. In the last 5 years, has the Principal Engineer completed one or more contracts for construction of transportation facilities in the State of California comparable to the project identified in the Request for Qualifications?

Yes No

If “yes” how many? _____

C-14. In the past 5 years, has the Principal Engineer completed one or more contracts for construction of transportation facilities in the United States comparable to the project identified in the Request for Qualifications?

Yes

No

If "yes" how many? _____

C-15. In the last 10 years, has the Principal Engineer completed one or more design-build contracts for construction of transportation facilities in the United States (including California) comparable to the project identified in the Request for Qualifications?

Yes

No

If "yes" how many? _____

III(D) SCORED QUESTIONS FOR THE ARCHITECT OF RECORD

“Architect of Record” shall mean the Architect whose stamp will appear on project documents. Do not answer this section if an Architect’s stamp will not appear on project documents.

“Firm” shall mean the firm which employs the Architect of Record.

Name of Architect of Record: _____

Name of Firm: _____

D-1. How many years has the Architect of Record been licensed and practicing in California?

Years: _____

D-2. Is the firm currently the debtor in a bankruptcy case?

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

D-3. Was the 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 B-2, above)

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

D-4. In the last five years has the Architect of Record or the firm, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No

If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

D-5. Has the Architect of Record or the firm ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

Yes

No

If “yes,” on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

D-6. In the past five years has any claim in excess of \$50,000 been filed in court, arbitration or other dispute resolution proceeding against the Architect of Record or the firm concerning its architectural work on a project?

Yes

No

If “yes,” on a separate page 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 and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

D-7. In the past five years has the Architect of Record or the firm, made any claim in excess of \$50,000 against a project owner concerning its architectural work on a project and filed that claim in court or arbitration?

Yes

No

If “yes,” on separate page 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

D-8. In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Architect of Record or the firm, based on non-payment or losses?

Yes

No

If “yes,” on separate page give name the insurance carrier, the form of insurance and the year of the refusal.

D-9. Has the Architect of Record or the firm 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,” on a separate page identify who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

D-10. Has the Architect of Record or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No

If “yes,” on a separate page identify who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

D-11. Has the Architect of Record or the firm ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes No

If “yes,” on a separate page identify the person or persons convicted, the court and case number, the crimes and the year convicted.

D-12. Has the Department of Consumer Affairs taken any disciplinary action against the Architect of Record?

Yes No

If yes, please explain on a separate page.

D-13. In the last 5 years, has the Architect of Record completed one or more contracts for construction of transportation facilities in the State of California comparable to the project identified in the Request for Qualifications?

Yes No

If “yes” how many? _____

D-14. In the past 5 years, has the Architect of Record completed one or more contracts for construction of transportation facilities in the United States comparable to the project identified in the Request for Qualifications?

Yes No

If “yes” how many? _____

D-15. In the last 10 years, has the Architect of Record completed one or more design-build contracts for construction of transportation facilities in the United States (including California) comparable to the project identified in the Request for Qualifications?

Yes No

If “yes” how many? _____

III(E) SCORED QUESTIONS FOR HEAVY AND HIGHWAY SUBCONTRACTORS

All Heavy and Highway Subcontractors must be pre-qualified. The Design-Builder may prequalify multiple alternative heavy and highway subcontractors, and later competitively bid out the subcontracts to those prequalified.

Attach copies of III(D) for each alternative Heavy and Highway Subcontractor if multiple Heavy and Highway subcontractors are being prequalified.

The term “Associates” shall mean all of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers of a contractor which is a corporation.
- All current partners of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking prequalification.

Subcontractor Name: _____

E-1. How many years has the Heavy and Highway Subcontractor been licensed in California?

Years: _____

E-2. Is the Heavy and Highway Subcontractor or its associates currently the debtor in a bankruptcy case?

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____ _____ _____
Case Number Bankruptcy Court Date Filed

E-3. Was the Heavy and Highway Subcontractor or its associates 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 D-2, above)

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____ _____ _____
Case Number Bankruptcy Court Date Filed

- E-4. At any time in the last five years has the Heavy and Highway Subcontractor or its associates been assessed liquidated damages of more than \$50,000 on a construction contract with either a public or private owner?

Yes No

If yes, explain on a separate page, identifying all such projects by owner, owner's address, name of entity against whom assessment was made, 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.

- E-5. In the past five years has the Heavy and Highway Subcontractor or its associates ever been declared by an order or found by an arbitrator or court to be in default on a contraction contract?

Yes No

If "yes," explain on a separate page.

- E-6. In the last five years has the Heavy and Highway Subcontractor or its associates been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No

If "yes," explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- E-7. Has the Heavy and Highway Subcontractor or its associates ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

Yes No

If "yes," on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between contractors and owners of projects. You need not include information about disputes with suppliers or other contractors.

- E-8. In the past five years has any claim in excess of \$50,000 been filed in court, arbitration, or other dispute resolution proceeding against the Heavy and Highway Subcontractor or its associates concerning their work on a construction project?

Yes No

If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- E-9. In the past five years has the Heavy and Highway Subcontractor or its associates made any claim in excess of \$50,000 against a project owner or a general contractor concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes No

If “yes,” on a separate page identify the claim by providing the name of claimant, 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- E-10. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Heavy and Highway Subcontractor or its associates due to non-payment or contractor losses?

Yes No

If “yes,” on a separate page give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal.

- E-11. Has the Heavy and Highway Subcontractor or its associates 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 entity?

Yes No

If “yes,” explain on a separate page, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date and the basis for the finding.

E-12. Has the Heavy and Highway Subcontractor or its associates ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes

No

If “yes,” explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

E-13. Has the Heavy and Highway Subcontractor or its associates 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 page the person or persons convicted, the court and case number, the crimes, and the year convicted.

E-14. During the last five years, has there ever been a period of time when the Heavy and Highway Subcontractor or its associates had no surety bond in place during a public construction project when one was required?

Yes

No

If yes, indicate the period during which no surety bonds were in place, name of entity without surety bond, the name of project owner, and if coverage was denied the date coverage was denied and the name of the company that denied coverage.

E-15. Has CAL OSHA cited and assessed penalties against the Heavy and Highway Subcontractor or its associates 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,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision.

- E-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Heavy and Highway Subcontractor or its associates in the past five years?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

Yes No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

- E-17. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the Heavy and Highway Subcontractor, its associates, or the owner of a project during the time in which the preceding parties were performing on a contract in the past five years?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

Yes No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

- E-18. How often does the Heavy and Highway Subcontractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

- E-19. List the Heavy and Highway Subcontractor'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.)

Year: _____ EMR: _____
Year: _____ EMR: _____
Year: _____ EMR: _____

If your EMR for any of these three years is or was 1.00 or higher you may attach a letter of explanation.

- E-20. Within the last five years has there ever been a period when the Heavy and Highway Subcontractor or its associates 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 page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the Heavy and Highway Subcontractor for the last five years. (If the Heavy and Highway Subcontractor has been in 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 business.)

- E-21. Has there been more than one occasion during the last five years in which the Heavy and Highway Subcontractor or its associates was required to pay either back wages or penalties for failure to comply with the state's prevailing wage laws?

Yes No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, 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 were assessed.

E-22. During the last five years, has there been more than one occasion in which the Heavy and Highway Subcontractor or its associates have been penalized or required to pay back wages for failure to comply with the Federal Davis-Bacon prevailing wage requirements?

Yes

No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, 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 were assessed.

E-23. If the Heavy and Highway Subcontractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

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

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

(c) State the number of individuals who were employed by 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.

E-24. At any time during the last five years, has the Heavy and Highway Subcontractor or its associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

Yes

No

If "yes," provide the date of the findings and attach a copy of the final decision.

Date of Findings

E-25. Do agreements exist between the Heavy and Highway Subcontractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticeable crafts which may be employed by the Heavy and Highway Subcontractor on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticeable craft within the period of October 1995 to October 2000.)

Yes

No

III(F) SCORED QUESTIONS FOR OTHER SUBCONTRACTOR(S)

If the Design-Builder chooses or if the Transit Operator requires, other (non-heavy and highway) subcontractors may be pre-qualified as part of the Design-Build Entity. Attach copies of III(F) for each subcontractor. Attach copies of III(F) for each Subcontractor.

The term “Associates” shall mean all of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.
- All current officers of a contractor which is a corporation.
- All current partners of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking prequalification.

Subcontractor Name: _____

F-1. How many years has the Subcontractor been licensed in California?

Years: _____

F-2. Is the Subcontractor or its associates currently the debtor in a bankruptcy case?

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____ _____ _____
Case Number Bankruptcy Court Date Filed

F-3. Was the Subcontractor or its associates 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 F-2, above)

Yes No

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

_____ _____ _____
Case Number Bankruptcy Court Date Filed

F-4. At any time in the last five years has the Subcontractor or its associates been assessed liquidated damages of more than \$50,000 on a construction contract with either a public or private owner?

Yes No

If yes, explain on a separate page, identifying all such projects by owner, owner's address, name of entity against whom assessment was made, 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.

F-5. In the past five years has the Subcontractor or its associates ever been declared by an order or found by an arbitrator or court to be in default on a construction contract?

Yes No

If "yes," explain on a separate page.

F-6. In the last five years has the Subcontractor or its associates been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No

If "yes," explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

F-7. Has the Subcontractor or its associates ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

Yes No

If "yes," on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between contractors and owners of projects. You need not include information about disputes with suppliers, or other contractors.

- F-8. In the past five years has any claim in excess of \$50,000 been filed in court, arbitration, or other dispute resolution proceeding against the Subcontractor or its associates concerning their work on a construction project?

Yes No

If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- F-9. In the past five years has the Subcontractor, or their associates, made any claim in excess of \$50,000 against a project owner or a general contractor concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes No

If “yes,” on a separate page identify the claim by providing the name of claimant, 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- F-10. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Subcontractor or its associates due to non-payment or contractor losses?

Yes No

If “yes,” on a separate page give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal.

- F-11. Has the Subcontractor or its associates 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 entity?

Yes No

If “yes,” explain on a separate page, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date and the basis for the finding.

F-12. Has the Subcontractor or its associates ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No

If “yes,” explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

F-13. Has the Subcontractor or its associates 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 page the person or persons convicted, the court and case number, the crimes, and the year convicted.

F-14. During the last five years, has there ever been a period of time when the Subcontractor or its associates had no surety bond in place during a public construction project when one was required?

Yes No

If yes, indicate the period during which no surety bonds were in place, name of entity without surety bond, the name of project owner, and if coverage was denied the date coverage was denied and the name of the company that denied coverage.

F-15. Has CAL OSHA cited and assessed penalties against the Subcontractor or its associates 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,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision.

F-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Subcontractor or its associates in the past five years?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

Yes No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

F-17. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the Subcontractor, its associates, or the owner of a project during the time in which the preceding parties were performing on a contract in the past five years?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

Yes No

If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

F-18. How often the does the Subcontractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

F-19. List the Subcontractor’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.)

Year: _____	EMR: _____
Year: _____	EMR: _____
Year: _____	EMR: _____

If your EMR for any of these three years is or was 1.00 or higher you may attach a letter of explanation.

F-20. Within the last five years has there ever been a period when the Subcontractor or its associates 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 page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the Subcontractor for the last five years. (If the Subcontractor has been in 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 business.)

F-21. Has there been more than one occasion during the last five years in which the Subcontractor or its associates was required to pay either back wages or penalties for failure to comply with the state's prevailing wage laws?

Yes No

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, 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 were assessed.

F-22. During the last five years, has there been more than one occasion in which the Subcontractor or its associates 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 page, describing the violator, nature of each violation, name of the project, 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 were assessed.

- F-23. If the Subcontractor operates its own State-approved apprenticeship program, provide the following information on a separate page:
- (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.
 - (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
 - (c) State the number of individuals who were employed by 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.

F-24. At any time during the last five years, has the Subcontractor or its associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

Yes No

If “yes,” provide the date of the findings and attach a copy of the final decision.

Date of Findings

F-25. Do agreements exist between the Subcontractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticable crafts which may be employed by the Subcontractor on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticable craft within the period of October 1995 to October 2000.)

Yes No

IV. RECENT CONSTRUCTION PROJECTS COMPLETED

1. How many design-build projects have the General Contractor and Principal Engineer involved in this Design-Build Entity ever worked together on?

2. List the total value of all transportation design-build contracts and the value of the largest transportation design-build project which the General Contractor and Principal Engineer have worked together on.

Total Value _____ Largest Contract _____

3. General Contractor member of the Design-Builder's three largest design-build transportation projects within the last ten years. The design-build projects may be public or private and located anywhere in the United States. Names and references must be current and verifiable. (Copy additional sheets)

General Contractor Name and Current Telephone Number: _____

Project Name: _____

Location: _____

Owner Name and Current Telephone Number: _____

Principal Engineer Name and Current Telephone Number: _____

Construction Manager Name and Current Telephone Number: _____

Description of Project, Scope of Work Performed: _____

Value of Original Contract: _____

Value of Contract including change orders: _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

4. General Contractor Member of the Design-Builder's six most recently completed public works transportation projects. Names and references must be current and verifiable. (Copy additional sheets)

General Contractor Name and Current Telephone Number: _____

Project Name: _____

Location: _____

Owner Name and Current Telephone Number: _____

Principal Engineer Name and Current Telephone Number: _____

Construction Manager Name and Current Telephone Number: _____

Description of Project, Scope of Work Performed: _____

Value of Original Contract: _____

Value of Contract including change orders: _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

5. Principal Engineer's three largest design-build transportation projects within the last ten years. The design-build transportation projects may be public or private and located anywhere in the United States. Names and references must be current and verifiable. (Copy additional sheets)

Principal Engineer's Name and Current Telephone Number: _____

Project Name: _____

Location: _____

Owner Name and Current Telephone Number: _____

General Contractor Name and Current Telephone Number: _____

Construction Manager Name and Current Telephone Number: _____

Description of Project, Scope of Work Performed: _____

Value of Original Contract: _____

Value of Contract including change orders: _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

6. Principal Engineer's six most recently completed public works transportation projects. Names and references must be current and verifiable. (Copy additional sheets)

Principal Engineer's Name and Current Telephone Number: _____

Project Name: _____

Location: _____

Owner Name and Current Telephone Number: _____

General Contractor Name and Current Telephone Number: _____

Construction Manager Name and Current Telephone Number: _____

Description of Project, Scope of Work Performed: _____

Value of Original Contract: _____

Value of Contract including change orders: _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

V. ORGANIZATION AND MANAGEMENT APPROACH

Description of Design-Build Management Approach

Please include a narrative description of the Design-Builders' management and organizational approach for accomplishing the design-build project. The narrative description should describe the methodology for integrating the Design-Build Entity and the different areas of expertise within the team into an efficient and effective organization. The management approach must reflect an understanding of the use of the design-build project delivery methodology for transportation projects. The narrative description shall also provide a brief description of the significant functional relationships among participants outlined in the organization chart below and how the proposed organization will function as an integrated Design-Build Entity.

This description, along with the organization chart(s), shall be limited to no more than ten pages.

Organizational Chart(s)

Please include organization chart(s) for the Design-Build Entity showing the flow of the "chain of command" with lines identifying participants who are responsible for performing the major functions to be performed, and their reporting relationships, in managing, designing and constructing the project. The chart(s) must show the functional structure of the organization down to the design discipline or construction superintendent level, and must identify, as a minimum, those Key Personnel identified by the request for qualifications.

The chart(s) should identify all of the members of the Design-Build Entity and identify the project management, project administration, construction management, quality assurance and quality control, safety, environmental compliance and subcontractor administration.

Information About Key Personnel

Please include resumes of and reference information for the Key Personnel proposed for the project if required by the request for qualifications.

CERTIFICATION

NOTE: All members of the Design-Build Entity must sign. Copy this certification page for each legal entity.

I, the undersigned _____, certify and declare that I have read all the foregoing answers to this Pre-Qualification Questionnaire; that all responses are correct and complete of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that the foregoing is true and correct.

(Signature)

(Printed name)

(Place of Execution)

(Date)

(Design-Build Entity Member)

**INSTRUCTIONS FOR
SCHOOL DISTRICT**

**RE: INTERVIEWING THE
DESIGN-BUILDER'S
REFERENCES**

INTERVIEWING THE DESIGN-BUILDER'S REFERENCES

The following is meant to assist the Transit Operator in conducting interviews of managers (that is, the people who supervised the projects for the project owners) of projects previously completed by the Design-Builder wishing to pre-qualify. The interview questions allow qualitative review of work performance of Design-Builders.

In each question, the person being interviewed is asked to rate a certain aspect of the Design-Builder's performance, using a scale of 1 to 10. It is possible that the score given to any interview answer may be challenged in an appeal. For that reason, be sure to: (a) ask the person being interviewed for specific information or details, to explain or substantiate the numerical answer given; and (b) take written notes of the information provided.

Selection of the Interviewer:

- The Transit Operator should select an individual who is at least moderately well informed about public works construction.
- The individual should be unbiased during the interview.

Locating the respondent to interview:

- The interviewer should attempt to contact a project manager of a past project for the interview.
- The interviewer should be aware that for one interview to be completed, there might be a need to interview multiple individuals. That is, the interviewer may have to contact multiple individuals, such as the project manager concerning the building process, and a financial manager for warranty items, assessed liens, and the like.
- Once reached, the interviewer should review the information contained in the questionnaire of the past project with the project manager. That is, review who is being interviewed and why (purposes of pre-qualifying for public works), the past project type, completion date, and other pertinent information to ensure that the project manager is sure of the project he/she is asked to review.
- The interviewer should examine at least two separate past projects listed in the questionnaire, and more projects if the ratings differ significantly.

The Interview:

- The interviewer should not use examples or deviate from the questions unless the project manager is unclear and prompts further explanation.
- While conducting the interview, the interviewer should be consistent with the way the questions are presented to all references.

**MODEL
INTERVIEW
QUESTIONS**

SUGGESTED DESIGN-BUILDER REFERENCE INTERVIEW QUESTIONS

The following suggested questions are for use by Transit Operator in interviewing project owners of recently completed projects by the Design-Builder.

Project Name: _____

Design-Builder: _____

Owner Name and Telephone No.: _____

Brief Description: _____

-
1. On a scale of 1-10, with 10 being the best, did the Design-Builder provide adequate personnel?

Rating: _____

2. On a scale of 1-10, with 10 being the best, did the Design-Builder provide adequate supervision?

Rating: _____

3. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job?

Rating: _____

4. On a scale of 1-10, with 10 being the best, was the Design-Builder timely in providing reports and other paperwork, including change order paperwork and scheduling updates?

Rating: _____

5. On a scale of 1-10, with 10 being the best, did the Design-Builder adhere to the project schedule that your agency or business approved?

Rating: _____

6. On a scale of 1-10, with 10 being the best, rate the Design-Builder on the timely submission of reasonable cost and time estimates to perform change order work.

Rating: _____

7. On a scale of 1-10, with 10 being the best, rate the Design-Builder on how well it performed the work after a change order was issued, and how well it integrated the change order work into the existing work.

Rating: _____

8. On a scale of 1-10, with 10 being the best, rate how the Design-Builder performed in the area of turning in Operation & Maintenance manuals, completing as-built drawings, providing required training, and taking care of warranty items?

Rating: _____

9. On a scale of 1-10, with 10 being the best, rate the Design-Builder on whether there were an unusually high number of claims, given the nature of the project, or unusual difficulty in resolving them.

Rating: _____

10. On a scale of 1-10, with 10 being the highest, rate the Design-Builder with respect to timely payments by them to sub-contractors and/or suppliers.

Rating: _____

11. On a scale of 1-10, with 10 being the best, rate the quality of the work overall.

Rating: _____

12. On a scale of 1-10, with 10 being the best, was the contractor cooperative with the owner and the Design-Builder?

Rating: _____

13. On a scale of 1-10, with 10 being the best, did the Design-Builder comply with all occupational safety and health and other labor laws?

Rating: _____

14. On the scale of 1-10, with 10 being the best, did the Design-Builder adequately resolve stop notices and liens pertaining to the project?

Rating: _____

**EXAMPLE REQUEST FOR
PRE-QUALIFICATION OF
DESIGN-BUILD ENTITIES**

REQUEST FOR PRE-QUALIFICATION OF DESIGN –BUILD ENTITIES

Notice is hereby given that the Transit Operator has determined that all bidders on *[Name of specific project]* to be undertaken by the Transit Operator must be pre-qualified prior to submitting a bid on that project. It is mandatory that all Design-Build Entities who intend to submit a proposal, fully complete the pre-qualification questionnaire, provide all materials requested herein, and be approved by the Transit Operator to be on the final qualified Proposal list. No Proposal will be accepted from a Design-Build Entity that has failed to comply with these requirements. The last date to submit a fully completed questionnaire is mm/dd/yy. *[35 days prior to the bid closing date]*. *Design-Build Entities* 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.

Answers to questions contained in the attached pre-qualification questionnaire, with accompanying notes and supplemental information, are required. Transit Operator will use these documents as the basis of rating the Design-Build Entity. Transit Operator reserves the right to check other sources available. Transit Operator decision will be based on objective evaluation criteria.

Transit Operator reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information.

Each questionnaire must be signed under penalty of perjury in the manner designated at the end of the form, by all members of the Design-Build Entity. If any information provided by a Design Build Entity becomes inaccurate, the Design Build Entity must immediately notify *Transit Operator* and provide updated accurate information in writing, under penalty of perjury.

Transit Operator reserves the right to waive minor irregularities and omissions in the information contained in any submitted pre-qualification questionnaire, and to make all final determinations.

The Design-Build Entity may submit pre-qualification questionnaires during regular working hours on any day that the offices of Transit Operator are open.

The Transit Operator may refuse to grant pre-qualification where the requested information and materials are not provided, or not provided by mm/dd/yy *[date specified in first paragraph – 35 days before bid closing]*

**DIR's
SUGGESTED
SCORING**

The rating of the Design-Build Entity will be based on the scores for the individual sections of the questionnaire. The successfully qualified Design-Build Entity must separately pass all three scored sections in the Pre-qualification Questionnaire: II Essential Requirements for the Design-Build Entity, III Scored Questions, and IV Recent Projects Completed. The rating approach described herein is not mandatory but represents suggested values developed by the Department of Industrial Relations. Transit Operators may wish to change the values provided in this document.

Pre-Qualification Questionnaire: Part I

Information About the Design-Build Entity Members

This part seeks information about the make up of the Design-Build Entity, and is for identification purposes only. There is no suggested scoring value to this part.

Pre-Qualification Questionnaire: Part II

Essential Requirements for the Design-Build Entity

This part seeks information about various members of the Design-Build Entity, and consists of qualify and don't qualify questions. All questions must be answered correctly or the Design-Build Entity will be disqualified. This is the first step in rating the Design-Build Entity. If the Design-Build Entity is able to correctly answer each of these questions, its ultimate rating will be dependent upon the scored questions. If the Design-Build Entity is unable to correctly answer each of these questions, it will be disqualified regardless of the results of the scored questions.

Question #	Yes	No	Score
1	0	1	
2	0	1	
3	0	1	
4	0	1	
5	0	1	
6	1	0	
7	1	0	
8	1	0	

9	1	0	
10	0	1	
11	0	1	
12	1	0	
13	1	0	
14	0	1	
15	0	1	
Total Score for Essential Requirements (Disqualified if score is greater than "0")			

Pre-qualification Questionnaire: Part III

Scored Questions

Part III(A) Scored Questions for the Design-Builder

The maximum possible score for Part III(A) is 210. A minimum score of 110 must be attained or the Design-Builder will be rated as not qualified which in turn disqualifies the Design-Build Entity. A score between the minimum and the maximum will be combined with the scores of the other parts to determine the total score for the Design-Build Entity.

III(A) Scored Questions for the Design-Builder

Question #	Quantity	Yes	No	Score
A-1	<i>5 yrs or less = 0 pts 6 yrs = 1 pts 7 yrs = 3 pts 8 yrs + = 5 pts</i>	N/A	N/A	
A-2	<i>N/A</i>	0	10	
A-3	<i>N/A</i>	0	10	
A-4	<i>0-1 Projects = 10 pts 2 Projects = 3 pts More than 2 Projects = 0 pts</i>	N/A	N/A	
A-5	<i>N/A</i>	0	5	
A-6	<i>N/A</i>	0	10	
A-7	<i>N/A</i>	0	5	
A-8	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances.</i>	N/A	N/A	
A-9	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
A-10	<i>N/A</i>	0	5	
A-11	<i>N/A</i>	-5	5	

Question #	Quantity	Yes	No	Score
A-12	<i>N/A</i>	-10	5	
A-13	<i>N/A</i>	-10	5	
A-14	<i>N/A</i>	0	10	
A-15	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
A-16	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
A-17	<i>5 pts for 0 to 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
A-18	<i>10 pts for at least once a week 5 pts for every two weeks 0 pts for less than every two weeks</i>	N/A	N/A	
A-19	<i>10 pts for .85 or less 5 pts if between .86 and 1.00 0 pts for greater than 1.00</i>	N/A	N/A	
A-20	<i>5 pts for 0 instance 0 pts for greater than 0</i>	N/A	N/A	
A-21	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
A-22	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
A-23	<i>N/A</i>	N/A	N/A	

Question #	Quantity	Yes	No	Score
A-24	5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances	N/A	N/A	
A-25	N/A	5	0	
A-26	0 Contracts = 0 pts 1 Contracts = 2 pts 2 Contracts = 4 pts	N/A	N/A	
A-27	0 Contracts = 0 pts 1 Contracts = 2 pts 2 Contracts = 4 pts	N/A	N/A	
A-28	0 Contracts = 0 pts 1 Contracts = 4 pts 2 Contracts = 7 pts	N/A	N/A	
A-29	Net Worth Less than \$4 mil = 0 pts \$4 mil to \$12 mil = 5 pts \$12 mil to \$20 mil = 10 pts Over \$20 mil = 15 pts	N/A	N/A	
A-29	Current Ratio Less than 1.0 = 0 pts 1 to 1.15 = 5 pts Over 1.15 = 10 pts	N/A	N/A	
A-29	Working Capital Less than \$3 mil = 0 pts \$3 mil – \$10 mil = 5 pts \$10 mil to \$15 mil = 10 pts Over \$15 mil = 15 pts	N/A	N/A	
Total Score (Disqualified if less than 110)				

Pre-qualification Questionnaire: Part III

Scored Questions

Part III(B) Scored Questions for the General Contractor Member(s) of the Design-Builder

The maximum possible score for Part III(B) is 170. A minimum score of 85 must be attained or the Design-Builder will be rated as not qualified which in turn disqualifies the General Contractor Member(s) of the Design-Builder Entity. A score between the minimum and the maximum will be combined with the scores of the other parts to determine the total score for the General Contractor Member(s) of the Design-Builder Entity.

III(B) Scored Questions for the General Contractor Member(s) of the Design-Builder

Question #	Quantity	Yes	No	Score
B-1	<i>5 yrs or less = 0 pts 6 yrs = 1 pts 7 yrs = 3 pts 8 yrs + = 5 pts</i>	N/A	N/A	
B-2	<i>N/A</i>	0	10	
B-3	<i>N/A</i>	0	10	
B-4	<i>0-1 Projects = 10 pts 2 Projects = 3 pts More than 2 Projects = 0 pts</i>	N/A	N/A	
B-5	<i>N/A</i>	0	5	
B-6	<i>N/A</i>	0	10	
B-7	<i>N/A</i>	0	5	
B-8	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances.</i>	N/A	N/A	
B-9	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
B-10	<i>N/A</i>	0	5	
B-11	<i>N/A</i>	-5	5	

Question #	Quantity	Yes	No	Score
B-12	<i>N/A</i>	-10	5	
B-13	<i>N/A</i>	-10	5	
B-14	<i>N/A</i>	0	10	
B-15	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
B-16	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
B-17	<i>5 pts for 0 to 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
B-18	<i>10 pts for at least once a week 5 pts for every two weeks 0 pts for less than every two weeks</i>	N/A	N/A	
B-19	<i>10 pts for .85 or less 5 pts if between .86 and 1.00 0 pts for greater than 1.00</i>	N/A	N/A	
B-20	<i>5 pts for 0 instance 0 pts for greater than 0</i>	N/A	N/A	
B-21	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
B-22	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
B-23	<i>N/A</i>	N/A	N/A	

Question #	Quantity	Yes	No	Score
B-24	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
B-25	<i>N/A</i>	5	0	
B-26	<i>0 Contracts = 0 pts 1 Contracts = 2 pts 2 Contracts = 4 pts</i>	N/A	N/A	
B-27	<i>0 Contracts = 0 pts 1 Contracts = 2 pts 2 Contracts = 4 pts</i>	N/A	N/A	
B-28	<i>0 Contracts = 0 pts 1 Contracts = 4 pts 2 Contracts = 7 pts</i>	N/A	N/A	
Total Score (Disqualified if less than 85)				

Part III(C) Scored Questions for the Principal Engineer(s)

The maximum possible score for Part III(C) is 95. A minimum score of 55 must be attained or the principal engineer will be rated as not qualified which in turn disqualifies the Design-Build Entity. A score between the minimum and the maximum will be combined with the scores of the other parts to determine the total score for the Design-Build Entity.

Question #	Requirement / Question	Yes	No	Score
C-1	<i>5 yrs or less = 0 pts 6 yrs = 3 pts 7 yrs = 5 pts 8 yrs + = 10 pts</i>	N/A	N/A	
C-2	<i>N/A</i>	0	10	

C-3	<i>N/A</i>	0	10	
C-4	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
C-5	<i>N/A</i>	0	10	
C-6	<i>5 pts for 0 instances 3 pts for 1- 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
C-7	<i>5 pts for 0 instances 3 pts for 1-3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
C-8	<i>N/A</i>	-5	5	
C-9	<i>N/A</i>	-5	5	
C-10	<i>N/A</i>	-5	5	
C-11	<i>N/A</i>	-5	5	
C-12	<i>N/A</i>	-10	5	
C-13	<i>0 Contracts = 0 pts 1 Contracts = 2 pts 2 Contracts = 4 pts</i>	N/A	N/A	
C-14	<i>0 Contracts = 0 pts 1 Contracts = 2 pts 2 Contracts = 4 pts</i>	N/A	N/A	
C-15	<i>0 Contracts = 0 pts 1 Contracts = 4 pts 2 Contracts = 7 pts</i>	N/A	N/A	
Total Score				
(Disqualified if less than 55)				

Part III(D) Scored Questions for the Architect of Record

The maximum possible score for Part III(D) is 120. A minimum score of 65 must be attained or the architect will be rated as not qualified which in turn disqualifies the Design-Builder Entity. A score between the minimum and the maximum will be combined with the scores of the other parts to determine the total score for the Design-Builder Entity.

Question #	Quantity	Yes	No	Score
D-1	<i>5 yrs or less = 0 pts 6 yrs = 3 pts 7 yrs = 5 pts 8 yrs + = 10 pts</i>	N/A	N/A	
D-2	<i>N/A</i>	0	10	
D-3	<i>N/A</i>	0	10	
D-4	<i>5 pts for 0 instances 3 pts for 1-3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
D-5	<i>5 pts for 0 instances 3 pts for 1-3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
D-6	<i>5 pts for 0 instances 3 pts for 1- 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
D-7	<i>N/A</i>	10	5	
D-8	<i>N/A</i>	10	5	
D-9	<i>N/A</i>	10	5	
D-10	<i>N/A</i>	10	5	
D-11	<i>N/A</i>	10	5	
D-12	<i>N/A</i>	0	10	

D-13	<i>0 Contracts = 0 pts 1 Contracts = 2 pts 2 Contracts = 4 pts</i>	N/A	N/A	
D-14	<i>0 Contracts = 0 pts 1 Contracts = 2 pts 2 Contracts = 4 pts</i>	N/A	N/A	
D-15	<i>0 Contracts = 0 pts 1 Contracts = 4 pts 2 Contracts = 7 pts</i>	N/A	N/A	
Total Score (Disqualified if less than 65)				

Part III(E) Scored Questions for the Heavy and Highway Subcontractor(s)

The maximum possible score for Part III(E) is 158. A minimum score of 90 must be attained or the Heavy and Highway Subcontractor will be rated as disqualified. All alternative Heavy and Highway Subcontractors must be disqualified in order to disqualify the Design-Build Entity.

Question #	Quantity	Yes	No	Score
E-1	<i>5 yrs or less = 0 pts 6 yrs = 1 pts 7 yrs = 3 pts 8 yrs + = 5 pts</i>	N/A	N/A	
E-2	<i>N/A</i>	0	10	
E-3	<i>N/A</i>	0	10	
E-4	<i>0-1 Projects = 10 pts 2 Projects = 3 pts More than 2 Projects = 0 pts</i>	N/A	N/A	
E-5	<i>N/A</i>	0	5	
E-6	<i>N/A</i>	0	10	
E-7	<i>N/A</i>	0	5	

Question #	Quantity	Yes	No	Score
E-8	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances.</i>	N/A	N/A	
E-9	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
E-10	<i>N/A</i>	0	5	
E-11	<i>N/A</i>	-5	5	
E-12	<i>N/A</i>	-10	5	
E-13	<i>N/A</i>	-10	5	
E-14	<i>N/A</i>	0	10	
E-15	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
E-16	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
E-17	<i>5 pts for 0 to 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
E-18	<i>10 pts for at least once a week 5 pts for every two weeks 0 pts for less than every two weeks</i>	N/A	N/A	
E-19	<i>10 pts for .85 or less 5 pts if between .86 and 1.00 0 pts for greater than 1.00</i>	N/A	N/A	
E-20	<i>5 pts for 0 instance 0 pts for greater than 0</i>	N/A	N/A	
E-21	<i>5 pts for 0 to 2 instances 3 pts for 3 instances</i>	N/A	N/A	

Question #	Quantity	Yes	No	Score
	<i>0 pts for more than 3 instances</i>			
E-22	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
E-23	<i>N/A</i>	N/A	N/A	
E-24	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
E-25	<i>N/A</i>	5	0	
Total Score (Disqualified if less than 90)				

Part III(F) Scored Questions for the Other Subcontractor(s)

The maximum possible score for Part III(F) is 158. A minimum score of 90 must be attained or the Subcontractor will be rated as disqualified. All alternative Subcontractors must be disqualified in order to disqualify the Design-Build Entity.

Question #	Quantity	Yes	No	Score
F-1	<i>5 yrs or less = 0 pts 6 yrs = 1 pts 7 yrs = 3 pts 8 yrs + = 5 pts</i>	N/A	N/A	
F-2	<i>N/A</i>	0	10	
F-3	<i>N/A</i>	0	10	
F-4	<i>0-1 Projects = 10 pts 2 Projects = 3 pts More than 2 Projects = 0 pts</i>	N/A	N/A	
F-5	<i>N/A</i>	0	5	
F-6	<i>N/A</i>	0	10	
F-7	<i>N/A</i>	0	5	
F-8	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances.</i>	N/A	N/A	
F-9	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
F-10	<i>N/A</i>	0	5	
F-11	<i>N/A</i>	-5	5	
F-12	<i>N/A</i>	-10	5	
F-13	<i>N/A</i>	-10	5	
F-14	<i>N/A</i>	0	10	
F-15	<i>5 pts for 0 or 1 instance</i>	N/A	N/A	

Question #	Quantity	Yes	No	Score
	<i>3 pts for 2 instances 0 pts for more than 2 instances</i>			
F-16	<i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
F-17	<i>5 pts for 0 to 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i>	N/A	N/A	
F-18	<i>10 pts for at least once a week 5 pts for every two weeks 0 pts for less than every two weeks</i>	N/A	N/A	
F-19	<i>10 pts for .85 or less 5 pts if between .86 and 1.00 0 pts for greater than 1.00</i>	N/A	N/A	
F-20	<i>5 pts for 0 instance 0 pts for greater than 0</i>	N/A	N/A	
F-21	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
F-22	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
F-23	N/A	N/A	N/A	
F-24	<i>5 pts for 0 to 2 instances 3 pts for 3 instances 0 pts for more than 3 instances</i>	N/A	N/A	
F-25	N/A	5	0	
Total Score (Disqualified if less than 90)				

Pre-qualification Questionnaire: Part IV

Referenced Projects

This level is comprised of a series of questions relating to the General Contractor's and Engineer's performance on completed projects. Transit Operator personnel will conduct the interviews.

The highest possible score for each interview is 140 Points. A score less than 70 points disqualifies a Design-Builder from bidding on projects that are proposed by the Transit Operator. A score of between 70 and 100 indicates the Transit Operator should conduct an interview of another contact, that is, a manager of another completed project. A score of 101 or higher on each of two interviews is sufficient for pre-qualification.

Pre-qualification Questionnaire: Part V

Organization and Management Approach

There is no suggested scoring value for this part.

**SOURCES FOR VERIFICATION
OF INFORMATION GIVEN
BY DESIGN-BUILD ENTITIES**

SOURCES FOR VERIFICATION OF INFORMATION GIVEN BY DESIGN-BUILD ENTITIES

The information that will be given to public agencies by Design-Build Entity seeking pre-qualification is provided under oath, with the understanding that the intentional providing of false information is, in itself, grounds for disqualification. The following information is provided for when a Transit Operator reviewing the answers given in a questionnaire has reason to believe that one or more answers should be verified by reference to publicly available information.

Information about contractor's licenses

Names and addresses of licensed contractors, information about the type of license(s) issued and the dates when licenses were issued, and other information, are available from the Contractors' State Licensing Board (CSLB), 9821 Business Park Drive, Sacramento, CA 95827; (800) 321-752. The CSLB web site for public information is: www.CSLB.ca.gov.

Information about workers' compensation insurance

Every workers' compensation insurance carrier issues to each of its insured Businesses a Certificate of Insurance. The contractor should be willing to provide a copy upon request.

Each contractor's Experience Modification Rate for the year should be stated in a letter to the contractor from the contractor's workers' compensation insurance carrier.

Some large companies are legally self-insured for workers' compensation, with the consent and authorization of the Department of Industrial Relations. The names of companies that are legally self-insured are available from the Department's Office of Self-Insurance Plans, Workers' Compensation, 2265 Watt Avenue, Suite 1, Sacramento, CA 95825; (916) 483-3392.

The names of each Business' current and recent workers' compensation insurance carriers are available from the Workers' Compensation Insurance Reporting Bureau (WCIRB), 525 Market Street, San Francisco, CA 94105, (415) 777-0777. WCIRB is not a public agency but it provides information to the public. It will provide the names of the current and recent workers' compensation insurance carriers of every employer in California, in response to a written request, for a fee of \$8 for every year for which you seek information.

Information about whether surety insurance carriers are “admitted” to do business in California

The California Department of Insurance will verify whether an insurance carrier is “admitted” to issue insurance policies within the State. The Department has a “Hot-Line” number: 800-927-4357, and a web site from which the information is available: www.insurance.ca.gov.

Information on disqualification from Bidding on Public with contracts

Information on the identities of contractors that have been disqualified from bidding on Public works contracts is available from the California Labor Commissioner, Division of Labor Standards Enforcement, 455 Golden Gate Avenue, 9th Floor, San Francisco, CA 94102; (415) 703-4810.

Information available from the Secretary of State about corporations

The California Secretary of State has certain current and historical information about all corporations that operate in California: dates of incorporation, articles of incorporation, the name of the original incorporators, the names of the corporate officers (who are not necessarily the stockholders) and an agent for service of process for the corporation. This information is available from the Secretary of State upon written request. (Secretary of State, Business Programs Division, 1500 Eleventh Street, Sacramento, CA 95814; (916) 653-2121). The Secretary of State does not ordinarily have a listing of the names of initial stockholders or current stockholders, and that information is generally not available in any public record.

Information available from County Clerks about partnerships and sole proprietorships

Every business, including a partnership, that operates under a “fictitious Business name” (for example, “Ajax Sheet Metal Contractors” or “Smith Brothers Electrical Contractors”) is required to file with the County Clerk in the county in which its home office is located a “Fictitious Business Name” statement. This statement will indicate the owner of the business if the business is a sole proprietorship, or the names of partners if the business is a partnership. The information is available to the public from the County Clerk upon request. A written request may be necessary.

Information about bankruptcy proceedings

Bankruptcy petitions, which include the names of the person or business that is seeking protection from the Bankruptcy Court, are available for public inspection at the office of the Clerk of each Bankruptcy Court (which are federal courts). In California, Bankruptcy Courts are located in Sacramento, Modesto, Fresno, San Francisco, Oakland, San Jose, Los Angeles, Santa Ana, Riverside, and San Diego. Most documents filed in court in bankruptcy proceedings are available for public inspection at the Bankruptcy Court clerk’s office. Some information on bankruptcy filings may also be available from commercial enterprises that collect and sell information from public records. In addition some information about bankruptcy cases filed August 1990 and later is available on-line through the “PACER” (Public Access to Court

Electronic Records) system. To obtain information from PACER, you must register with the system, and pay a fee for the materials obtained. Call 1-800-676-6856 or you may register online at <http://pacer.psc.uscourts.gov>.

Information about civil suits and arbitration cases

Each court keeps records of every civil suit filed in that court, and of the judgments that are issued after trials. However, the exact terms of pre-trial settlements are generally not recorded in court files. Documents related to disputes submitted to arbitration are generally not available for public inspection. Public agencies, however, are required to disclose the terms of such settlements, when documents are requested under the California Public Records Act.

Information about criminal convictions

Criminal convictions are a matter of public record. Each courthouse (in both the federal and state court systems) has an index of its own criminal records. In addition, a few data collection businesses have collected criminal conviction information from public records throughout the state, and the collected information about particular individuals or businesses is available for sale from these private businesses.

Information about Federal court civil and criminal cases

Information about federal criminal cases (filed August 1991 and later) and civil cases (filed August 1990 and later) is available on-line through the “PACER” (Public Access to Court Electronic Records) system. To obtain information from PACER, you must register with the system, and pay a fee for the materials obtained. Call 1-800-676-6856) or you may register online at: <http://pacer.psc.uscourts.gov>.

Information about citations issued for violation of industrial safety and health laws

Information about citations issued by both the federal Occupational Safety and Health Administration and the California Division of Occupational Safety and Health (Cal OSHA) are available on a web site maintained by federal OSHA, <http://www.osha.gov>. At that web site, click on “library.” On the library page, click on “Statistics and Inspection Data.” Next, click on “establishment Search.” When the next screen appears, enter the name of the contractor about whom you seek information in the “establishment” window. In the “Process” window, enter the number 999999. Click on California in the “State” window. In the “Inspection Date” window, enter the range of dates you wish to search. Then click the submit button.

Information about prevailing wage law violations

Information about recent prevailing wage law violations is available from the Division of Labor Standards Enforcement, at 2031 Howe Avenue, Ste. 110, Sacramento, CA 95825; (916) 263-2915.

**Citations from either Air Quality or Water Quality Boards
for violations of regulations**

Information about citations issued by the California Air Resources Board is available from that agency under the Public Records Act. Their address is 1001 "I" Street, Sacramento, CA 95814, or Post Office Box 2815, Sacramento, 95812. In addition, Regional Air Quality Management Districts and Regional Water Quality Control Boards throughout the state may issue citations for violations of air quality or water quality standards. Consult the appropriate board in your area for information about how to gather appropriate information.

**Information about state-approved apprenticeship plans
and violations of state apprenticeship laws**

Information about violations of state apprenticeship laws can be obtained from the Division of Apprenticeship Standards, 455 Golden Gate Avenue, 8th Floor, Post Office Box 420603, San Francisco, CA 94142; (415) 703-4920.