



## Attachment D

# Application for Pre-Qualification of General Contractors

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## Facility Modification & Tenant Improvements



### ADMINISTRATIVE OFFICE OF THE COURTS

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JUDICIAL AND COURT OPERATIONS  
SERVICES DIVISION

JUDICIAL BRANCH CAPITAL PROGRAM OFFICE



**Judicial Council of California**  
ADMINISTRATIVE OFFICE OF THE COURTS

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**APPLICATION FOR PRE-QUALIFICATION OF GENERAL  
CONTRACTORS FOR FACILITY MODIFICATION AND TENANT  
IMPROVEMENT PROJECTS**

**CONTENTS OF PRE-QUALIFICATION PACKAGE**

**1. General Instructions and Information**

**2. Application for Pre-Qualification [documents to submit]**

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

# 1. GENERAL INSTRUCTIONS AND INFORMATION

## A. GENERAL INFORMATION

A current California contractor's license required to bid the Project: is a **"B" license**

It is mandatory that all Contractors who intend to submit fully complete the pre-qualification questionnaire, provide all materials requested, and be approved by the AOC to be on the final qualified General Contractors list. No bid will be accepted from a Contractor that has failed to comply with these requirements. If two or more business entities submit a bid as part of a Joint Venture, or expect to submit a bid as part of a Joint Venture, each entity within the Joint Venture must be separately qualified to bid.

### NOTES:

1. Each partner of joint venture proposals must individually meet the conditions of General Contractor's Evaluation Form, Contractor's License has not been suspended, put on probation or revoked at any time in the last five (5) years.
2. Limited Liability Corporations (LLC) will be required to comply with a Guaranty of Obligations.

Answers to questions contained in the attached questionnaire, information about current bonding capacity, notarized statement from surety and any accompanying notes and supplemental information are required. The AOC will use these documents as the basis of rating Contractors in respect to the size and scope of contracts upon which each Contractor is qualified. The AOC reserves the right to check other sources available. The AOC's decision will be based on objective evaluation criteria.

The AOC reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information. Contractors whose rating changes sufficient to disqualify them will be notified, and given an opportunity for a hearing consistent with the hearing procedures described below for appealing a pre-qualification rating.

While it is the intent of the pre-qualification questionnaire and required documents to assist the AOC in determining a select list of General Contractor's neither the fact of pre-qualification, nor any pre-qualification rating, will preclude the AOC from considering and/or determining whether a General Contractor has the quality, fitness, capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness to be awarded a contract pursuant to California Public Contract Code.

## B. Data Required

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

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

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

The AOC reserves the right to waive minor irregularities and omissions in the information contained in the pre-qualification application submitted, to make all final determinations, and to determine at any time that the pre-qualification procedures will not be applied to a specific future public works project.

## 2. Application for Pre-Qualification

The specific documents that must be submitted are attached.

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

**PART I. GENERAL CONTRACTOR INFORMATION and AFFIDAVIT**

The following documents, Prequalification Application, Parts I through V, are to be filed with the AOC by the General Contractor requesting Prequalification:

Firm Name: \_\_\_\_\_ Check One:  Corporation  
(as it appears on license)  Partnership  
 Sole Prop.

Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-Mail: \_\_\_\_\_

If firm is a sole proprietor or partnership:

Owner(s) of Company \_\_\_\_\_

Contractor's License Number(s):

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

**AFFIDAVIT**

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

Dated: \_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed name and title)

**PART II. ESSENTIAL REQUIREMENTS FOR QUALIFICATION**

**“Contractor will be immediately disqualified if the answer to any of questions 1 through 6 is “no.”**

**Contractor will be immediately disqualified if the answer to any of questions 8, 9, 10 or 11 is “yes.” If the answer to question 8 is “yes,” and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.”**

1. Contractor possesses a valid and current California Contractor’s “B” license for the project or projects for which it intends to submit a bid.

Yes       No

2. Contractor maintains commercial general liability insurance with a policy limit of at not less than:

Each Occurrence Limit	\$2,000,000
Personal and Advertising Liability Limit	\$2,000,000
General Aggregate Limit	\$4,000,000
Per Project Products - Completed Operations Aggregate	\$2,000,000
Excess Liability each occurrence	\$5,000,000
Excess Liability general aggregate	\$5,000,000
Excess Liability products-completed operations aggregate	\$5,000,000

The products completed operations liability insurance shall extend for three years after final completion of the work.

Yes       No

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

Yes       No

4. Contractor maintains business automobile liability insurance with a policy limit of at least \$1,000,000.00 per accident.

Yes       No

5. Contractor can provide builders risk or installation insurance when required by the AOC.

Yes       No

6. Contractor has reviewed and understands the requirements of Exhibit B, Section 7 Safety Requirements.

Yes       No

7. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) authorized to issue bonds in the State of California, which states that your current performance and payment bonding capacity is a minimum of \$400,000 per project and \$2,000,000 for all projects in the course of construction at any single point in time with the AOC as the primary Obligee .

Yes       No

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

8. Has your contractor's license been revoked at any time in the last five years?

Yes       No

9. Has a surety firm completed a contract on your behalf, or paid for completion because your firm was default terminated by the project owner within the last five (5) years?

Yes       No

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

Yes       No

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

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

Yes       No

**PART III. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, COMPLIANCE WITH CIVIL AND CRIMINAL LAWS**

**A. Current Organization and Structure of the Business**

**For Firms That Are Corporations:**

- 1a. Date incorporated: \_\_\_\_\_
- 1b. Type of corporation (e.g., S Corp., C Corp., LLC): \_\_\_\_\_
- 1c. Under the laws of what state: \_\_\_\_\_
- 1d. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, and treasurer), or (b) the owner of at least ten per cent of the corporation's stock.

Name	Position	Years with Co.	% Ownership

- 1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.  
**NOTE: For this question, "owner" and "partner" refer to ownership of ten per cent or more of the business, or 10 per cent or more of its stock, if the business is a corporation.**

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

**For Firms That Are Partnerships:**

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

Name	Position	Years with Co.	% Ownership



- 1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.  
**NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.**

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

**For Firms That Are Sole Proprietorships:**

- 1a. Date of commencement of business. \_\_\_\_\_  
 1b. Social security number of company owner. \_\_\_\_\_  
 1c. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.  
**NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.**

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

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

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

Name of firm	% Ownership of Joint Venture

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

2. Has there been any change in ownership of the firm at any time during the last three years?  
**NOTE: A corporation whose shares are publicly traded is not required to answer this question.**  
 Yes       No

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

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

Yes       No

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

4. Are any corporate officers, partners or owners connected to any other construction firms?  
**NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.**

Yes       No

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

5. State your firm's gross revenues for each of the last three calendar years:

\_\_\_\_\_

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

7. Is your firm currently the debtor in a bankruptcy case?

Yes       No

If "yes," please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

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

Yes       No

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

## Licenses

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

\_\_\_\_\_

\_\_\_\_\_

10. If any of your firm's license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the Contractors State Licensing Board (CSLB) records who meet(s) the experience and examination requirements for each license.

\_\_\_\_\_

\_\_\_\_\_

11. Has your firm changed names or license number in the past five (5) years?
- Yes       No
- If "yes," explain on a separate signed page, including the reason for the change.
12. Has any owner, partner or (for corporations) officer of your firm operated a construction firm under any other name in the last five years?
- Yes       No
- If "yes," explain on a separate signed page, including the reason for the change.
13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?
- Yes       No
- If "yes," please explain on a separate signed sheet.

### Disputes

14. At any time in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?
- Yes       No
- If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, and the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.
15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?
- NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.**
- Yes       No
- If "yes," explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.
16. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?
- Yes       No
- If "yes," explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

17. In the past five years has any claim **against** your firm concerning your firm's work on a construction project been **filed in court or arbitration?**

Yes       No

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

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

Yes       No

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

19. At any time during the past five years, has any surety company made any payments on your firm's behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm's behalf, in connection with a construction project, either public or private?

Yes       No

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

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

Yes       No

If "yes," explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

### **Criminal Matters and Related Civil Suits**

21. Has your firm or any of its owners, officers or partners ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?

Yes       No

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

22. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes  No

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

23. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes  No

If "yes," identify on a separate signed page the person or persons convicted, the court (the county if a state court, the district or location of the federal court), the year and the criminal conduct.

### **Bonding**

24. If your firm was required to pay a premium of more than one per cent for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one per cent, if you wish to do so.

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

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

Yes  No

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

### **Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety**

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

NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

Yes       No

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

28. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five years?

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

Yes       No

If "yes," attach a separate signed page describing each citation.

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

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

Yes       No

If "yes," attach a separate signed page describing each citation.

30. Is your corporate safety program compliant with the minimum Safety Precautions and Programs in Attachment B, Section 7 of the attached sample Standard Agreement, TASK ORDER document.

Yes       No

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

32. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past five (5) premium years:

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

Year	Modifier

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

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

Yes       No

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

**Prevailing Wage and Apprenticeship Compliance Record**

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

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

Yes       No

If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that you were required to pay.

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

Yes       No

If “yes,” attach a separate signed page or pages describing the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid, the amount of back wages you were required to pay along with the amount of any penalty paid.



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

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Name of Organization (Name must correspond exactly with Contractor's License)

Provide information on projects completed or currently in progress that demonstrate your organization's experience with projects of similar scope, size and complexity. Provide specific project related experience, relevance of scope, size and complexity. Please label responses consistent to the categories listed below and include project name, location, construction value, and owner contact information.

**1. Relevant Projects**

Submit at least six (6) examples of your organization's relevant projects with construction values up to \$1,000,000 completed within the last five (5) years. Relevant projects shall include as many of the following components and construction types, as applicable; including at least one (1) project which is a public works project in the State of California:

- Facilities with a minimum of 5,000 gross square footage area and construction costs up to \$ 2,500,000.00
- Court facilities
- Secure facilities
- Projects with complex interrelated building systems such as security monitoring and alarm, building and energy management, telecommunications, data distribution and other related sub-systems
- Projects requiring completion of the project in phases, possibly allowing owner occupancy of portion of completed phase(s) prior to final completion of whole project
- Projects requiring work in adjacent existing site/facility that remains occupied and operational, while new work including utilities, site features, security, building and energy management, and telephone/data systems are constructed and connected to the existing facility

Clearly identify the relevance of each project and be specific as to the nature of any self-performed work and the role of your organization in the management of the overall project. List each project by name, location, year of completion, and owner's name, owner's project manager's name and current contact information including phone number. Include a description of the construction type, project schedule, and the construction value of the work performed. Photos and other graphic materials would be helpful to delineate each project. A Sample Format is included following this listing of categories.

**2. Security Systems**

Provide a list of facilities or other applicable projects that your organization has completed within the last ten (10) years that required security systems of similar or greater scope/complexity that included integration with existing facilities while working in a secured environment.

**3. Project Management Expertise**

Indicate how your organization has managed, directed or participated in projects of similar scope. Indicate your organization's management structure, lines of authority and hierarchy. Provide information on how schedules, costs, and quality are maintained throughout a project. Indicate how communications between the various stakeholders (owner, project design consultants, tenants and inspectors) and the

General Contractor are managed to ensure all project requirements are addressed and met. This should include both on-site personnel and home office staff.

#### **4. Quality Control**

Describe your organization's philosophy for producing quality buildings and your approach to quality control. Provide information on how you handle minimizing warranty callbacks and typical response time for warranty callbacks. (Typical response time is from initial request by Owner to final resolution of issue to Owner's established requirements.) Describe how coordination has been achieved and communicated to subcontractors and other tradespersons on projects of similar size, scope and complexity.

#### **5. Key Personnel**

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

#### **6. Safety Program**

The AOC is committed to the safety of the work being done, all employees, the existing staff on-site, the surrounding community, visitors and the environment. While the AOC has the responsibility for conducting our business in a manner that strives to prevent accidents, the general contractor will have primary responsibility for the safety at the project site. The contractor's safety program must meet the following minimum requirements:

#### **SAFETY OF PERSONS AND PROPERTY**

- a. The Contractor shall comply with all applicable laws, ordinances, rules, regulations and lawful orders of public authorities bearing on the safety of persons or property, or their protection from damage, injury or loss.
- b. The Contractor shall initiate, maintain and supervise all safety precautions and programs in connection with the performance of the Work.
- c. The Contractor shall take precautions for safety and provide protection to prevent damage, injury or loss to:
  - o Employees working under the Contract and other persons who may be affected thereby;
  - o The Work and materials and equipment to be incorporated as part of the Work whether in storage on or off the Project site, under care, custody or control of the Contractor or the Contractor's Subcontractors or Sub-subcontractors; and
  - o Other property at the Project site, or adjacent thereto, such as trees, shrubs, lawns, walks, pavements, roadways, structures and utilities, except as otherwise noted or specified.
- d. The Contractor shall erect and maintain, as required by existing conditions and performance of the Work, safeguards for safety and protection, including posting danger signs and other warnings against hazards, promulgating safety regulations and notifying the State, other owners and users of adjacent sites and utilities.
- e. The Contractor shall comply with all applicable laws, ordinances, rules, regulations and lawful orders of public authorities regarding the storage and/or use of explosives or other hazardous materials or equipment necessary for execution of Work.

- f. The Contractor shall designate the Work Superintendent, or some other responsible member of the Contractor's organization who is at the Site, to be the competent person responsible for the prevention of accidents and the monitoring of the safety of the Work.
- g. The Contractor shall not permit any part of the Work or Project site to be loaded so as to endanger its safety.
- h. When conditions of the Work, in the judgment of the State, present unreasonable risk of injury or death to persons or property damage, the State, may direct the Contractor, at the Contractor's sole expense, to close down the Work and not commence work again until all dangerous conditions are eliminated.
- i. The Contractor, at the Contractor's own cost, shall rebuild, repair, restore and make good any and all damages to any portion of the Work affected by such causes before its acceptance.

Identify how your organization's safety program is implemented, and the lines of authority and communication to be compliant with the AOC's minimum requirements.

**SAMPLE FORMAT**

**Example Project Description and Information**

Names and references must be current and verifiable. Use separate sheets that contain all of the following information:

Project Name: \_\_\_\_\_

Location: \_\_\_\_\_

Owner: \_\_\_\_\_

Owner Contact (name and current phone number):

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

Architect or Engineer: \_\_\_\_\_

Architect or Engineer Contact (name and current phone number):

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

Construction Manager (name and current phone number):

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

Description of Project, Scope of Work Performed:

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

Total Value of Construction (including change orders): \_\_\_\_\_

Original Scheduled Completion Date: \_\_\_\_\_

Time Extensions Granted (number of days): \_\_\_\_\_

Actual Date of Completion: \_\_\_\_\_

**NOTE: Include information to address all the previously listed categories; security systems, project management, quality control, key personnel and safety program.**

**PART V. ORGANIZATION'S BONDING AND INSURANCE REQUIREMENTS**

Name of Organization \_\_\_\_\_ (Name must correspond exactly with Contractor's License)

**Surety and Bonding Requirements**

- A. Attach a notarized statement from the bonding company your firm proposes to use indicating their commitment to provide a Performance and Payment Bond for the full amount of any awarded contract.
- B. List the names of the Bonding firms utilized by your organization in the last five (5) years, for projects over \$1,000,000.00

**Name of Bonding Company No. 1** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Project Name: \_\_\_\_\_

Amount Bonded: \_\_\_\_\_ % Completed \_\_\_\_\_

Project Name: \_\_\_\_\_

Amount Bonded: \_\_\_\_\_ % Completed \_\_\_\_\_

Project Name: \_\_\_\_\_

Amount Bonded: \_\_\_\_\_ % Completed \_\_\_\_\_

**Name of Bonding Company No. 2** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Project Name: \_\_\_\_\_

Amount Bonded: \_\_\_\_\_ % Completed \_\_\_\_\_

Project Name: \_\_\_\_\_

Amount Bonded: \_\_\_\_\_ % Completed \_\_\_\_\_

Project Name: \_\_\_\_\_

Amount Bonded: \_\_\_\_\_ % Completed \_\_\_\_\_

**Name of Bonding Company No. 3** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Project Name: \_\_\_\_\_

Amount Bonded: \_\_\_\_\_ % Completed \_\_\_\_\_

Project Name: \_\_\_\_\_

Amount Bonded: \_\_\_\_\_ % Completed \_\_\_\_\_

**PART V. ORGANIZATION'S BONDING AND INSURANCE REQUIRMENTS**

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Name of Organization \_\_\_\_\_ (Name must correspond exactly with Contractor's License)

**Insurance Requirements**

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

- A. Attach a notarized statement from the Worker's Compensation carrier specifying organization's current Experience Modification rating for Worker's Compensation in the State of California.
- B. List the names of the insurance firms utilized by your organization in the last five (5) years, for projects over \$400,000

**Name of Insurance Company No. 1** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Rating: \_\_\_\_\_

**Name of Insurance Company No. 2** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Rating: \_\_\_\_\_

**Name of Insurance Company No. 3** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Rating: \_\_\_\_\_

## **PART VI. ATTACHMENTS REQUIRED**

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Name of Organization (Name must correspond exactly with Contractor's License)

The following documents, Attachments 1 through 7, are to be provided to the AOC by the Organization requesting Prequalification, for the aforementioned project.

Provide all of the attachments listed below

- Attachment 1** – General Statement of Bank Credit
- Attachment 2** – Notarized State from Bonding Company
- Attachment 3** – Notarized Statement from Worker's Compensation Insurance Carrier
- Attachment 4** – Current Copy of Organization's California Contractor's License(s)
- Attachment 5** – Certification declaring that the applying Organization has not has a surety company finish work on any project within the last five (5) years.
- Attachment 6** – Certification declaring that the applying Organization, in the last five (5) years has not been found by a judge, arbitrator, jury, or a nolo contendere plea to have submitted a false or fraudulent claim to a public agency
- Attachment 7** – Certification declaring that the applying Organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation.

**Attachment 1 – General Statement of Bank Credit**

**Exchange this page for a General Statement of Bank Credit.**



**Attachment 2 – Notarized Statement from the Bonding Company**

**Exchange this page for a notarized statement from the bonding company that your organization proposes to use, indicating their commitment to provide Performance and Payment bonds for the full amount of any awarded contract.**

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

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

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

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

**Attachment 5 – Certification Declaring Applying Organization Has Not Had Surety Finish Work on any Project within last Five Years**

**Exchange this page for a certification declaring that the applying organization has not had a surety company finish work on any project within the last five (5) years.**

Sample Declaration

I, \_\_\_\_\_, authorized agent of \_\_\_\_\_  
(Name of Organization)

hereby certify, under penalty of perjury under the laws of the State of California, that the organization has not has surety company finish work on any project within the last five (5) years.

Signed: \_\_\_\_\_

Dated: \_\_\_\_\_

**Attachment 6 – False or Fraudulent Claim**

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

*Sample Declaration*

I, \_\_\_\_\_, authorized agent of \_\_\_\_\_  
(Name of Organization)

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

Signed: \_\_\_\_\_

Dated: \_\_\_\_\_

**Attachment 7 – Disqualification or Removal**

**Exchange this page for a certification declaring that the applying organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation.**

*Sample Declaration*

I, \_\_\_\_\_, authorized agent of \_\_\_\_\_  
(Name of Organization)

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

Signed: \_\_\_\_\_

Dated: \_\_\_\_\_