For NEW Applicants

APPLICATION FOR PRE-QUALIFICATION of

MECHANICAL ELECTRICAL AND PLUMBING CONTRACTORS

Name of Prequalifying Contractor: _____

APPLICATION FOR PRE-QUALIFICATION of

MECHANICAL ELECTRICAL AND PLUMBING CONTRACTORS

ALAMEDA UNIFIED SCHOOL DISTRICT

GENERAL INFORMATION

Alameda Unified School District ("District") is requesting that mechanical, electrical and plumbing subcontractors, as further described below, prequalify to provide subcontracting services to construct improvements to certain District schools ("District Projects"), as further described in the District's Request to Prequalify and For Statement of Qualifications for Preliminary and Construction Services (Lease-Leaseback), dated March 17, 2023 which is available on the Districts website, www.alamedaunified.org/Measure_B.

All subcontractors with the following license classifications that intend to bid to the District's qualified general contractors on District Projects are required to be prequalified by the District: C-4, C-7, C-10, C-16, C-20, C-34, C-36, C-38, C-42, C-43, and/or C-46 ("MEPs"). MEPs must complete and submit the Subcontractor Prequalification Questionnaire to Alameda Unified School District Office, 2060 Challenger Drive, Alameda, CA 94501. Only subcontractors that would be performing work on the Project under the above license classifications are required to be prequalified by the District.

Public Contract Code §20111.6 mandates that a school district require each prospective MEP to complete and submit to the District a standardized questionnaire and financial statement in a form specified by the District, including a complete statement of the prospective bidder's financial ability and experience in performing public works construction. In accordance with §20111.6, the District has developed a Pre-Qualification Application which must be completed in advance by all firms seeking to bid these projects.

Only one copy of the Application for Pre-Qualification is required to be submitted.

A person who is knowledgeable and duly authorized to attest to the past and present operations of the Applicant and its policies must complete the Application. An Application certification page must be signed by the preparer and by at least one general partner, owner, principal, or executive officer of the firm who is authorized to legally commit the firm. More than one certification page may be necessary. All questions must be answered. Disclaimers, general statements with global qualifications, or notations of "Not Applicable" are not acceptable. Any pages containing supplemental information and/or other documentation which the Applicant submits to ensure full disclosure, should be attached to the Application.

The Applicant must provide current, accurate, and complete information. Incomplete or inaccurate documentation may result in denial of Pre-Qualification. The District reserves the right to request that Applicants update prequalification forms on a quarterly basis. The District reserves the right to verify the information submitted by the Applicant, in any related documents, or by supplemental information or data as necessary. If it is determined that false, incomplete, inaccurate or deceptive information or data was submitted in conjunction with the Application, the District may deny Pre-Qualification, revoke previously granted approval, or, if an award has been made, can terminate the contract and cease making payments.

All costs associated with completion of the Application shall be borne by the Applicant. The District shall not, in any event, be liable for any expense incurred by the Applicant in connection with the preparation, completion or submission of the Application. The financial information submitted in

conjunction with the Applicant's Application is considered confidential business information and will be afforded protection to the fullest extent permitted by law.

The Pre-Qualification Application consists of two (2) primary review modules, which will be used to qualify the Applicants.

Module 1: The first module consists of a list of threshold questions to which the Applicant must answer "No". If the Applicant answers "Yes" to any of the threshold questions, the Application will automatically be rejected. If the Applicant answers "No" to all of the questions, the Application will proceed to the second module.

Module 2: The second module consists of a list of "Rating Questions" all of which the Applicant must answer. If the Applicant's score on the second module meets the minimum of at least 75 the Applicant will qualify for the second module. If the Applicant's score on the second module is not sufficient, the Application will be rejected.

In summary, the Applicant must successfully pass both modules of the Application in order for the Applicant to be Pre-Qualified for these Projects.

The Pre-Qualification of a prospective Applicant shall not limit or preclude the District's subsequent consideration of a Pre-Qualified Applicant's responsibility on factors other than the prospective Applicant's financial qualifications. (See Public Contract Code §20101.)

Applicants shall mail, hand deliver, or email to: construction@alamedaunified.org completed Application in an envelope clearly marked Application for Pre-Qualification of General Contractors for Alameda Unified School District to:

Monty Patterson
Sr. Director of Construction
Alameda Unified School District
2060 Challenger Drive
Alameda, CA 94501

The following can result in denial of Pre-Qualified status:

1. Failure to submit any material information required on the questionnaire;
2. Deliberate submission of false information;
3. Debarment or suspension by any public entity;
4. Conviction of a crime or public offense; or,
5. Any combination of substantive factors including, but not limited to, disregard of laws and regulations, history of failure to perform in other contracts, unresolved tax liens, etc., which, in the sole discretion of the District, do not meet the standards of fitness or reliability expected from firms wishing to do business with the District.

Once the review and evaluation are complete, the Applicant will be notified by letter whether the Pre-Qualification has been approved or denied. Only Applicants for whom the Pre-Qualification Application has been approved will be permitted to submit a bid for any Alameda Unified School District Measure B construction contracts.

Any Applicant denied Pre-Qualification has a right to appeal the decision. The Applicant has five (5) business days from the date of the Denial Notification to file a written appeal with the District's Assistant Superintendent at the Application submittal address shown above. The District will call to order a three-member Review Panel for appeals. None of the Review Panel members shall have participated in the prior review of the Application. Upon receipt of the written appeal, the Review Panel will meet to address the appeal. The Panel may consult with District counsel and other advisors during its review. The Panel will examine the appeal and the facts surrounding the determination before making a decision. The Panel's decision is the final decision of the District. There are no further administrative appeals. The District's formal contract protest procedure is not applicable or available in this appeal process.

Prequalification is valid for a maximum of one year and expires on December 31 each year, at which time a prequalified contractor may fill out a requalification application to extend its status through December 31 of the following year.

The District reserves the right to revoke the prequalified status of any contractor that is not performing appropriately on AUSD projects or other projects.

PREQUALIFICATION QUESTIONNAIRE

CONTRACTOR (OR "FIRM") INFORMATION		
Contractor's company name:		
Address:		
Telephone:		
Mobile telephone:		
E-mail:		
Years in business under current company name:		
Years at the above address:		
Types of work performed with own forces:		
Gross revenue of the Firm for the past three (3) years:		
$	$	$

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

Name of license holder exactly as on file with the California State License Board:
License classification(s):
License Number(s):
License expiration date(s):
Department of Industrial Relations registration number (Per Labor Code section 1725.5):
Number of years license holder has held the listed license(s):
Number of years Contractor has done business in California under contractor's license law:
Number of years Contractor has done business in California under **current** Contractor's license:
Has your Firm changed name(s) or license number(s) in the past five (5) years? (Y / N). If "yes", explain on a separate signed sheet, including the reason for the change.
Has there been any change in ownership of the Firm at any time in the past five (5) years? **NOTE**: A corporation whose shares are publicly traded is not required to answer this question. (Y / N). If "yes", explain on a separate signed sheet, including the reason for the change.
Is the Firm a subsidiary, parent, holding company, or affiliate of another construction firm? **NOTE**: Include information about other firms if one firm owns ten percent (10%) or more of another, or if an owner, partner, or

officer of your Firm holds a similar position in another firm. (Y / N). If "yes", explain on a separate signed sheet, the name of the related company(ies) and the percent ownership.

Indicate the form of Contractor's firm (type of business entity):

____ Individual
____ Sole Proprietorship
____ Partnership
____ Limited Partnership
____ Corporation, State: _____
____ Limited Liability Company
____ Joint Venture
____ Other: _____

List the following for each corporation officer, general partner, limited partner, owner, etc. (as applicable) for the Contractor's type of entity. For joint ventures, include this information for each entity in the joint venture and the percent ownership of each joint venture. Attach all additional information on separate signed sheets as needed.

Name	Position	Years with Co.	% Ownership

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

Name of Person at Associated Firm	Name of Associated Firm	Contractor's License No. of Associated Firm	Dates of Person's Participation with Associated Firm

CONTRACTOR'S BONDING COMPANY (SURETY) INFORMATION

Name(s) of bonding company(ies) your Firm has utilized over the past five (5) years (not broker or agency):

Address(es) of those bonding company(ies):

Number of years Contractor has been with those bonding company/surety:

Name of broker/agent:

Address of broker/agent:

Telephone number of broker/agent:

E-mail of broker/agent:

Contractor's total current bonding capacity: $

CONTRACTOR'S INSURANCE INFORMATION

Name of insurance company(ies) your Firm has utilized over the past five (5) years (not broker or agency):

Address of those insurance company(ies):

"Best" rating(s) for those insurance company(ies):

Number of years Contractor has been with those insurance company(ies):		

Name of broker/agent:
Address of broker/agent:
Telephone number of broker/agent:
E-mail of broker/agent:
Contractor's current insurance limits for the following types of coverage:

Commercial General Liability	Combined Single Limit (per occurrence)	$
	Combined Single Limit (aggregate)	$
Product Liability & Completed Operations	(aggregate)	$
	(per occurrence)	$
Automobile Liability – Any Auto	Combined Single Limit (aggregate)	$
Automobile Liability – Any Auto	Combined Single Limit (per occurrence)	$
Employers' Liability		$
Builder's Risk (Course of Construction)		

Workers' Compensation Experience Modification Rate for the past five (5) premium years:		
(1) Current year:	(2)	(3)
	(4)	(5)

QUESTIONS		
Pass/Fail Questions (Essential Criteria)		
1.	Has your Firm contracted for and completed construction of a minimum of: • **Four** (**4**) California K-12 public school district construction projects, • Each with a value of at least **$100,000,** and • All within the past **five (5) years**? (Please circle one). **NOTE**: You **must** list these projects in the "Contractor Project References" Section.	YES NO NO = cannot prequalify
2.	Does your Firm currently hold all contractors' license(s) necessary to perform the work and have those license(s) been consistently active for at least ten (10) years without revocation or suspension? (Please circle one).	YES NO NO = cannot prequalify
3.	Has your Firm or an Associated Firm been found non-responsible, debarred, disqualified, forbidden, or otherwise prohibited from performing work and/or bidding on work for any public agency within California within the past ten (10) years? (Please circle one).	YES NO YES = cannot prequalify
4.	Has your Firm or an Associated Firm defaulted on a contract or been terminated for cause by any public agency on any project within California within the past ten (10) years and, if so and if challenged, has that default or termination been upheld by a court or an arbitrator? (Please circle one).	YES NO YES = cannot prequalify
5.	Has your Firm or an Associated Firm or any of their owners or officers been convicted of a crime under federal, state, or local law involving: (1) Bidding for, awarding of, or performance of a contract with a public entity; (2) Making a false claim(s) to any public entity; or (3) Fraud, theft, or other act of dishonesty to any contracting party within the past **ten (10) years**? (Please circle one).	YES NO YES = cannot prequalify
6.	Has a performance bond surety for your Firm or a performance bond surety for an Associated Firm had to: (1) Take over or complete a project, (2) Supervise the work of a project, or (3) Pay amounts to third parties,	YES NO YES = cannot prequalify

	related to construction activities of your Firm or an Associated Firm within the past five (5) years? (Please circle one).	



If you answered:
"NO" to questions 1-2 or
"YES" to questions 3-6, then STOP.
You are not eligible for prequalification at this time.

Scored Questions		
1.	Has your Firm paid liquidated damages pursuant to a contract for a project with either a public or private owner within the past five (5) years? (Please circle one). If YES, explain and indicate on separate signed sheet(s) the project name(s), damages(s), and date(s).	YES NO
2.	Has your Firm paid a premium of more than one percent (1%) for a performance and payment bond on any project(s) within the past five (5) years? (Please circle one). If YES, explain and indicate on separate signed sheet(s) the project name(s), the premium amount(s), and date(s).	YES NO
3.	Has any insurer had to pay amounts to third parties that were in any way related to construction activities of your Firm within the past five (5) years? (Please circle one). If YES, explain and indicate on separate signed sheet(s) the project name(s), the amount(s) paid, and date(s).	YES NO
4.	Has your Firm's Workers' Compensation Experience Modification Rate exceeded 1.0 at any time for the past five (5) premium years? (Please circle one). If YES, explain and indicate on separate signed sheet(s) the EMR(s) and the applicable date(s).	YES NO
5.	Has there been a period when your Firm had employees but was without workers' compensation insurance or state-approved self-insurance within the past five (5) years? (Please circle one). If YES, explain and indicate on separate signed sheet(s) the reason(s) for not having this insurance and the applicable date(s).	YES NO
6.	Has your Firm declared bankruptcy or been placed in receivership within the past five (5) years? (Please circle one). If YES, explain and indicate on separate signed sheet(s) the type of bankruptcy, the Firm's current recovery plan, and the applicable date(s).	YES NO
7.	Has your Firm been denied bond coverage by a surety company, or has there been a period of time when your Firm had no surety bond in place during a public construction project when one was required within the past five (5) years? (Please circle one). If YES, provide details on a separate signed sheet indicating the date(s) when your Firm was denied coverage and the name of the company or companies which denied coverage; and the period(s) during which you had no surety bond in place.	YES NO
8.	Has a project owner, general contractor, architect, or construction manager filed claim(s) in an amount exceeding $50,000 against your Firm, or has your Firm filed claim(s) in an amount	YES NO

	exceeding $50,000 against a project owner, general contractor, architect, or construction manager in the past five (5) years? If YES, explain and indicate on separate signed sheet(s) the project name(s), claim(s) and the date(s) of claim(s).	
9.	Has your Firm or an Associated Firm been cited and/or assessed any penalties for non-compliance with state and/or federal laws and/or regulations, including public bidding requirements and Labor Code violations, within the past five (5) years? If "YES," indicate on separate signed sheet(s) the project name(s), violation(s), and date(s) of citation(s) and/or assessment(s).	YES NO
10.	Has your Firm been cited and/or assessed penalties by the Environmental Protection Agency, any air quality management district, any regional water quality control board, or any other environmental agency within the past five (5) years? If "yes," indicate on separate signed sheet(s) the project name(s), violation(s), and date(s) of citation.	YES NO
11.	Has CAL OSHA and/or federal Occupational Safety and Health Administration cited and assessed penalties against your Firm, including any "serious," "willful" or "repeat" violations of safety or health regulations within the past five (5) years? If "yes," indicate on separate signed sheet(s) the project name(s), violation(s), and date(s) of citation. If the citation was appealed and a decision has been issued, state the case number and the date of the decision.	YES NO
12.	Has your Firm been required to pay either back wages or penalties for its failure to comply with California's prevailing wage laws, with California's apprenticeship laws or regulations, or with federal Davis-Bacon prevailing wage laws within the past five (5) years? If "yes," indicate on separate signed sheet(s) the project name(s), the nature of the violation(s), the name and owner of the project(s), the number of employees who were initially underpaid and the amount of back wages and penalties that your Firm was required to pay.	YES NO
13.	Does your Firm require **weekly**, documented safety meetings to be held for construction employees and field supervisors during the course of a project?	YES NO
14.	Provide the name, address and telephone number of the apprenticeship program (approved by the California Apprenticeship Council) from whom you intend to request the dispatch of apprentices to your Firm for use on any public work project for which you are awarded a contract by the District.	

CONTRACTOR PROJECT REFERENCES

List **ALL** projects in which your Firm has participated as a contractor or first-tier subcontractor during the past **five (5) years** with a Firm contract value of more than **$100,000.**

- You may limit your response to the thirty (30) most-recently completed projects, but you **must** include at least the four (4) most recent California K-12 public school projects with a contract value of more than $100,000 performed by your Firm.
- Include all information indicated below on separate signed sheets as necessary, and explain or clarify any response as necessary

Project Name/Identification:
Project address/location:
Project owner, contact person, and telephone:
Project architect name and telephone number:
If contractor was a subcontractor on the project, name of general contractor and telephone number:
Scope of Work:
Original completion date:
Date completed:
Initial contract value (as of time of bid award):
Final contract value:
Did the project include constructing or modernizing an earthquake resistant building?

CERTIFICATION

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

Date: _____

Proper Name of Contractor: _____

Signature: _____

By: (Print Name)