

Exhibit A-1
Direct Contractor Questionnaire

SAN RAFAEL CITY SCHOOLS
PREQUALIFICATION QUESTIONNAIRE AND CERTIFICATION
FOR PROSPECTIVE BIDDERS

Due before 2:00pm, ____ day, _____, 2017

Pursuant to Education Code section 14706 and Public Contract Code section 20111.6, each prospective direct contractor shall be currently licensed and shall submit the following information to establish its qualifications to bid to perform construction work as the developer on the District's lease-leaseback projects.

I. RESPONSIVE CRITERIA

- A. Timeliness:** Prequalification Statement must be submitted on time.
- B. Completeness:** Contractor must provide all requested information.
- C. Signed Under Penalty of Perjury:** The Prequalification Questionnaire must be signed under penalty of perjury by individuals who have the authority to bind the contractor on whose behalf they are signing.
- D. Misleading/Inaccurate Information:** Any and all information provided by the contractor shall not be misleading or inaccurate in any material manner.

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II. GENERAL INFORMATION

A. Contractor's Contact Information

Firm name: _____

Address: _____

Telephone: _____

Fax: _____

Mobile Telephone: _____

E-mail: _____

By: _____ (Name of individual completing statement)

Date: _____

Years in business as a licensed contractor: _____

Years' experience with school district, university, and/or community college district projects: _____

Years of experience with similar complex new construction projects: _____

Types of work performed with own forces: _____

Years in business under current firm name: _____

Years at the above address: _____

B. Current Organization and Structure of the Business

1. For Firms that are Corporations:

a. Date incorporated: _____

b. Type of corporation (e.g., S Corp., C Corp., LLC): _____

c. Under the laws of what state: _____

d. Provide all the following information for each person who is either: (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten percent (10%) of the corporation's stock. Attach all additional references and/or information on separate signed sheets.

| Name | Position | Years with Co. | % Ownership |
|------|----------|----------------|-------------|
| | | | |
| | | | |
| | | | |

2. For Firms that are Partnerships:

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

| Name | Position | Years with Co. | % Ownership |
|------|----------|----------------|-------------|
| | | | |
| | | | |
| | | | |

3. For Firms that are Sole Proprietorships:

- a. Date of commencement of business: _____

| Name | Position | Years with Co. |
|------|----------|----------------|
| | | |
| | | |
| | | |
| | | |

4. For Firms that Intend to Bid as a Joint Venture:

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

| Name of Firm | % of Ownership of Joint Venture |
|--------------|---------------------------------|
| | |
| | |
| | |

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

| Firm Name | Name of Owner | Position | Years with Co. | % Owner-ship of Co. |
|-----------|---------------|----------|----------------|---------------------|
| | | | | |
| | | | | |
| | | | | |

C. Associated Firms

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

| State Person's Name or "Contractor" | Name of Associated Firm | Contractor's License No. | Dates of Participation |
|-------------------------------------|-------------------------|--------------------------|------------------------|
| | | | |
| | | | |
| | | | |

D. History of the Business and Organizational Performance

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

Yes ☐ No ☐

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

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

Yes ☐ No ☐

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

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

Yes ☐ No ☐

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

4. State your firm's gross revenues for each of the past four (4) years:

| Year | Gross Revenue |
|------|---------------|
| 2016 | \$ |
| 2015 | \$ |
| 2014 | \$ |
| 2013 | \$ |

E. Contractor's Licenses

1. Contractor shall be licensed in the State of California and shall submit the following information:
 - a. Name of license holder exactly as on file with the California State License Board: _____

 - b. License classification(s): _____

 - c. License #: _____
 - d. Expiration Date: _____
 - e. Number of years license holder has held the listed license(s): _____
 - f. Number of years contractor has done business in California under contractor's license law: _____

 - g. If your firm is a corporation or partnership, list the names of the qualifying individual(s) on file with the California State License Board who meet(s) the experience and examination requirements for each license: _____

2. Has your firm changed names or license numbers in the past five (5) years?
Yes ☐ No ☐

If "yes," explain on a separate signed sheet, including the reason for the change.
3. Has the California State License Board suspended the license held by your firm, its Responsible Managing Employee, or its Responsible Managing Officer within the past five (5) years?
Yes ☐ No ☐
If "yes," explain on a separate signed sheet, including the reason for the suspension.

F. Contractor's Project Personnel

The undersigned contractor hereby commits to the assignment of a full-time on-site project manager and project superintendent(s), as identified below, in the event that the contractor is awarded the project. At the time of the bid, the successful contractor shall confirm the availability of the personnel identified below. If any of the identified staff are no longer employed by the contractor at the time of bid opening, or are otherwise unavailable, the contractor's bid may be considered nonresponsive. The contractor may formally request substitution of other individuals with equivalent experience, and the District may consider them, in the District's sole discretion. However, résumés, project history, and other relevant information must be submitted by the contractor to District immediately once contractor becomes aware of a need for a replacement.

1. Full-Time, On-Site Project Manager:

- a. Name: _____
- b. Address: _____
- c. Years with firm: _____
- d. Years in current position: _____
- e. Licenses held: _____

- f. Years' experience with school district, university, and/or community college district projects: _____
- g. Years performing similar complex new construction projects for community colleges/universities : _____
- h. Recent comparable project references (list at least three):

| <u>Name</u> | <u>Contact</u> | <u>Phone</u> |
|-------------|----------------|--------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

2. Full-Time, On-Site Project Superintendent:

- a. Name: _____
- b. Address: _____

- c. Years with firm: _____
- d. Years in current position: _____
- e. Licenses held: _____

- f. Years' experience with school district, university, and/or community college district projects: _____
- g. Years performing similar complex new construction projects for community colleges/universities : _____
- h. Recent comparable project references (list at least three):

| <u>Name</u> | <u>Contact</u> | <u>Phone</u> |
|-------------|----------------|--------------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

F. Contractor's Insurance

- a. Insurance Information - The District will utilize the SEWUP OCIP (Owner Contracted Insurance Program) Program administered by Keenan & Associates. Pre-qualified bidders and the firm (and its subcontractors) awarded a contract for construction will be required to conform to the requirements of the OCIP Program. The OCIP program will provide coverage as follows:
 - i. General Liability: Up to \$5,000,000/occurrence and \$10,000,000 Annual Aggregate. Deductible is \$250,000/occurrence and will be paid by the party or parties responsible for the loss or damage and will not be reimbursed by the OCIP Insurance Program.
 - ii. Worker's Compensation: Project limits will conform to statutory requirements with Employer's Liability of \$1,000,000 occurrence/aggregate. Deductible is \$250,000/occurrence and will be paid by the party or parties responsible for the loss or damage and will not be reimbursed by the OCIP Insurance Program.
 - iii. Contractor's Pollution Liability: \$25,000,000 occurrence/program aggregate. Deductible is \$10,000/occurrence and will be paid by the party or parties responsible for the loss or damage and will not be reimbursed by the OCIP Insurance Program.
 - iv. Builder's Risk "Course of Construction" Insurance: Limit is based on the project value, and includes coverage for flood, earthquake and soft costs. Deductibles are \$10,000 - \$25,000/occurrence and will be paid by the party or parties responsible for the loss or damage and will not be reimbursed by the OCIP Insurance Program.
 - v. Any other insurance coverage (e.g., automobile, mold/fungi, offsite fabrication) required by the contractor, and not mentioned above will be provided by the contractor.
 - vi. Contractor furnished Comprehensive Automobile Liability, covering

all owned, non-owned, and hired vehicles.

1. Insurance coverage amount(s) shall be no less than:
\$2,000,000 combined single limit.

1. List all insurers contractor utilized in the past five (5) years. Use separate signed sheets as necessary, with all requested information.

a. Name of insurance company ("Insurer"): _____

b. Address of Insurer: _____

c. Name of agent: _____

d. Address of agent: _____

e. Telephone number of agent: _____

f. Years contractor has been with this Insurer: _____

g. Amounts paid out by Insurer in the past five (5) years that were in any way related to construction activities of your firm and/or any firm identified in Section B (Please provide an explanation on separate signed sheets): \$ _____

h. Insurer's "Best" rating: _____

2. In the past five (5) years, has any insurance carrier, for any form of insurance, refused to renew an insurance policy for your firm? (Please circle one.)

YES ☐

NO ☐

If "yes," please explain on a separate signed sheet.

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III. ESSENTIAL CRITERIA

A. Project Experience

1. **Stadium Projects:** Has your firm and/or any firm identified in Section II.B. and/or Section II.C. above contracted for and completed construction of a minimum of three (3) stadium projects for a school district or community college/university each with a minimum contract for construction of eight million dollars within the past five (5) years?

Yes ☐

No ☐

If yes, list both the last three (3) and largest three (3) stadium projects of at least five million dollars (\$5,000,000) for a school district or community college/university performed in California within the last five years.

| LAST THREE PROJECTS - STADIUM | | | |
|---|-----------------------------|----------------|------------------|
| | Owner/Project Name/Location | Date Completed | Value of Project |
| 1 | | | |
| 2 | | | |
| 3 | | | |
| LARGEST THREE PROJECTS - STADIUM | | | |
| | Owner/Project Name/Location | Date Completed | Value of Project |
| | | | |
| 1 | | | |
| 2 | | | |
| 3 | | | |

Please attach a separate signed sheet of paper providing a description of each of the last three and largest three similar complex new construction projects for a school district or community college/university performed in California ("Description of Last/Largest Three Similar Stadium Projects"). At a minimum, this description should address the following: (i) What did the project consist of?; (ii) What were the original time constraints and were they met?; (iii) What was the original project budget, final contract amount, and change order value?; (iv) What cost control measures were taken?

2. **Lease-Leaseback Projects:** List at least three (3) of your firm's (and/or any firm identified in Section II.B. and/or Section II. C. above) most recent California school district or community college/university projects (both under construction and completed), using the Lease-Leaseback project delivery method with a total contract price of One Million Dollars (\$1,000,000) or more.

| LAST THREE PROJECTS - LEASE-LEASEBACK | | | |
|--|-----------------------------|----------------|------------------|
| | Owner/Project Name/Location | Date Completed | Value of Project |
| 1 | | | |
| 2 | | | |
| 3 | | | |

Please attach a separate signed sheet of paper providing a description of each of the last three Lease-Leaseback projects for a school district or community college/university performed in California ("Description of Last/Largest Three Lease-Leaseback Projects"). At a minimum, this description should address the following: (i) What did the project consist of?; (ii) What were the original time constraints and were they met?; (iii) What was the original project budget, final contract amount, and change order value?; (iv) What cost control measures were taken?

B. Default or Bankruptcy

Has your firm and/or any firm identified above in Section II.B. and/or Section II.C., either performing work under its current license or under licenses through other entities, including a joint venture, defaulted on a contract, declared bankruptcy or been placed in receivership within the past five (5) years?

Yes ☐ No ☐

C. Licensure

Has your firm and/or any firm identified in Section II.B. and/or Section II.C. above held all contractors license(s) necessary to perform its work, and have those license(s) been consistently active for at least five (5) years without revocation or suspension?

Yes ☐ No ☐

To prequalify for the Project, the contractor is required to possess one or more of the following State of California Contractor Licenses: A or B

D. Disqualification, Prohibition

Has your firm and/or any firm identified above in Section II.B. and/or Section II.C. been disqualified, debarred, forbidden, found non-responsible, or otherwise prohibited, from performing work and/or bidding on work on any project within the State of California or on work for any community college district, university, school district, or other public agency within the State of California within the past five (5) years? (Please circle one).

Yes ☐ No ☐

E. Termination

Has your firm and/or any firm identified in Section II.B. and/or Section II.C. been terminated by any owner, including any community college district, university, school district, or other public agency, on any project, including any project for a community college district, school district, or other public agency, within the State of California within the past five (5) years? (Please check one).

Yes ☐ No ☐

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F. Liquidated Damages

Have liquidated damages ever been assessed against your firm and/or any firm identified in Section II.B. and/or Section II.C.?

Yes ☐ No ☐

If the answer is "yes," please provide such documentation on a separate signed sheet.

G. Bonding Capacity

Is your firm's total bonding capacity equal to or greater than the estimated "Bid Day" Cost of Construction of eight million six hundred thousand dollars (\$8,600,000.00)?

Yes ☐ No ☐

If the answer is "yes," please provide a notarized statement that states your firm's total bonding capacity from an admitted surety insurer that is authorized to issue bonds in the State of California.

IV. PROJECT EXPERIENCE AND REFERENCES

A. Project Experience – Stadium and Lease-Leaseback

ATTACHMENT "A"

List ***all*** stadium projects and/or Lease-Leaseback projects in which the contractor has been the general contractor during the past five (5) years on **ATTACHMENT "A"** and sign the form. For each project, list project size as 'bid day' contract amount.

Please include all projects performed under all firm names identified in Section II.A., Section II.B. and Section II.C. Please use and attach additional signed sheets when needed to explain or clarify any response or to include more responses with all requested information.

You may limit your response to the thirty (30) most-recently completed new construction projects if you have completed more than thirty (30) new construction projects in the past five (5) years. Even if they are not within your firm's thirty (30) most recently completed new construction projects, at least five (5) of the projects listed in **ATTACHMENT "A"** must be complex projects for a school district or community college/university performed in California, with a minimum initial price of five million dollars (\$5,000,000), or contractor cannot prequalify for District work for this Project.

B. Site Specific Criteria

ATTACHMENT "B," Site Specific Criteria and Current Restrictions, is attached to this questionnaire and applies to the work contemplated under this project.

1. Scheduling Qualifications: The successful bidder will need to demonstrate internal, proactive scheduling expertise and management. Please describe your firm's scheduling expertise. List individual staff and/or subcontractor experience and provide evidence of project delivery, including initial contract substantial completion

[illegible]

2. Cost Control: Construction of the Project is one of the projects under the Measure B Bond Program and is subject to strict budget constraints. List completed projects or experience your firm has with similar budget constraints. For each project listed, please provide the initial contract amount, final contract amount, value of change orders and value of stop notices (attach separate sheet if additional space is needed).

C. Project References

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must be able to provide objective evaluation of Contractor's performance and project environment description.

V. BUSINESS LONGEVITY, FINANCIAL STRENGTH AND PERFORMANCE

The District will assign points for the following based on standardized questions that the District will ask each contractor's references:

A. Years in Business Under Current License _____ years

B. Contractor's Financial Information

Contractor must submit an audited financial statement or verified financial statement certified by an officer of the company 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 supplemental information only, and is not a substitute for the required audited or certified financial statement.

C. Contractor's Bonding/Surety

Contractors must fully comply with all bid conditions including, without limitation, a ten percent (10%) bid bond, a hundred percent (100%) payment bond, and a hundred percent (100%) performance bond. The contractor may substitute securities for any monies withheld by the District to ensure performance under a contract for the Project, in accordance with the provisions of section 22300 of the Public Contract Code. Contractor's surety must be admitted and authorized to transact business as a surety in California. List all sureties utilized in the past five (5) years. Use separate signed sheets as necessary, with all requested information.

1. Name of bonding company (not agency): _____

2. Address of company: _____

3. Name of agent: _____

1. Address of agent: _____

2. Telephone number of agent: _____

3. Years contractor has been with this surety: _____

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

\$ _____

8. Has your firm and/or any firm identified in Section II.B. above paid a premium of more than one percent (1%) for a performance and payment bond on any project(s) at any time during the past five (5) years?

Yes ☐

No ☐

If yes, state the percentage paid. You may provide an explanation for a percentage rate higher than one percent, if you wish to do so:
_____ %

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

Yes ☐

No ☐

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

D. Non-Compliance with Applicable Laws

1. Has your firm and/or any firm identified above in Section II.B. and/or Section II.C. been cited and/or assessed any penalties for non-compliance with state and/or federal laws and/or regulations, including OSHA violations, and Labor Code violations, within the past five (5) years? (Please check one).

Yes ☐

No ☐

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

2. Has your firm and/or any firm identified above in Section II.B. and/or Section II.C. 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," indicate on separate signed sheet(s), including the person(s) involved, the name of the public entity, the date of the investigation and the grounds for the finding.

3. Has your firm and/or any firm identified above in Section II.B. and/or Section II.C. 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 sheet, including the person(s) involved, the date of the conviction and the grounds for the conviction.

4. Has your firm and/or any firm identified above in Section II.B. and/or Section II.C. ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes ☐ No ☐

If "yes," explain on a separate signed sheet, including the person(s) convicted, the court (the county if a state court, the district or location of a federal court), the year and the criminal conduct.

E. Environmental Citations

Has your firm and/or any firm identified above in Section II.B. and/or Section II.C. 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?

Yes ☐ No ☐

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

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F. Workers' Compensation Experience Modification Rate

1. State the contractor's current Workers' Compensation Experience Modification Rate: _____

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

| Year | Modification Rate |
|------|-------------------|
| | |
| | |
| | |
| | |
| | |

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

Yes ☐

No ☐

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

4. Within the past five (5) years, has your firm, or any firm identified in Section B above, been cited for any OSHA violations?

Yes ☐

No ☐

If yes, please explain on a separate signed sheet.

G. Experience with Project Labor Agreements (RESERVED)

H. CEQA

Does your firm and/or any firm identified above in Section II.B. and/or Section II.C. have experience working on Projects subject to strict compliance with requirements set forth in a project Environmental Impact Report, including mitigation measures?

Yes ☐

No ☐

If yes, please explain and describe the specific EIR requirements complied with on a separate signed sheet.

VI. SAFETY AND SUBCONTRACTING OF ADDITIONAL HAZARDOUS MATERIAL ABATEMENT:

The Owner has made reasonable efforts to abate and mitigate hazardous materials in the areas of this project. Should additional hazardous materials be discovered during

demolition, does Contractor have experience and qualifications for subcontracting abatement on an as-needed, quick response basis?

Yes ☐ No ☐

If yes, please provide project names in which Contractor was responsible for additional, 'on-call' abatement subcontracting: _____

VII. 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 an officer of the contractor: _____

By: _____
(Print Name)

Title: _____

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ATTACHMENT "A"

Stadium Projects and/or Lease-Leaseback Projects

1. Project Name/Identification:

- a. Name of contractor/entity performing work: _____

- b. Project owner: _____

- c. Project architect (name and telephone number): _____

- d. Project Name, Type, and Scope of Work: _____

- e. Project address/location: _____

- f. Original completion date: _____

- g. Date completed: _____

- h. Describe measures taken to adhere to scheduling requirements:

- i. Initial contract value (as of time of bid award): _____

- j. Total value of stop notices: _____
- k. Total value of change orders: _____
- l. Final contract value: _____

- m. Describe cost control measures taken:

- n. Were liquidated damages assessed (If yes, explain): _____

o. Contact for verification and reference (name, title, email and telephone number) _____

p. Describe scope of staging performed and specific staging requirements complied with: _____

q. Describe any additional special circumstances of the project similar and relevant to the Project (i.e., project labor agreements, CEQA requirements, site specific conditions, etc.) _____

r. Did the project owner, architect, or construction manager file claim(s) in an amount exceeding \$50,000 against you or your firm, or did you or your firm file claim(s) in an amount exceeding \$50,000 against a project owner, architect, or construction manager? (Please check one).

Yes ☐

No ☐

If yes, explain and indicate on separate signed sheet(s) the project name(s), claim(s), and date(s) of claim(s).

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

Date: _____

Name

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ATTACHMENT "B"

Site Specific Criteria and Current Restrictions

1. Cost Control:

- Construction of the Project is one of the projects under the Measure B Bond Program and is subject to strict budget constraints.
- The estimated "Bid Day" Cost of Construction for the Project is eight million six hundred thousand dollars (\$8,600,000).

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