



CITY OF SAN DIEGO
Engineering and Capital Projects

PRE-QUALIFICATION
&
CONTRACTOR STANDARDS
RENEWAL
QUESTIONNAIRE

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GENERAL INFORMATION

Under San Diego Municipal Code §22.3224(a), contractors desiring to bid as a prime contractor for City of San Diego public works projects valued at over \$250,000 must be pre-qualified for financial resources, technical expertise, experience, a satisfactory record of past performance and compliance with the law. Pre-qualification status is effective for one year from the date of the initial approval letter and is renewable each year thereafter. To renew the pre-qualification status, contractors must submit a completed Pre-Qualification & Contractor Standards Renewal questionnaire, their current financial statements, and an updated bond letter for review and scoring.

The range of projects on which the contractor will be pre-qualified to bid is determined by the type of financial statements submitted. Please see the table below:

Project Range	Financial Statements Type
\$250,000 - \$15,000,000	REVIEWED Financial Statements
\$15,000,001 and Above	AUDITED Financial Statements

These documents are used as the basis for rating contractors with respect to the size and scope of contracts which contractors are qualified to bid. The City of San Diego reserves the right to check other available sources. Omission of requested information can result in automatic disqualification.

The pre-qualification program renewal packet documents are not public records, subject to the Public Records Act, and are not open for public inspection. All information provided will be kept confidential to the extent permitted by law. The City of San Diego reserves the right to reject any and all program renewal questionnaires and to waive any irregularities in the information contained therein.

Each program renewal questionnaire, and any other submitted pages, must be signed under penalty of perjury 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 changes, the contractor must immediately notify the City of San Diego and provide updated, accurate information in writing and under penalty of perjury.

The pre-qualification program renewal packet consists of three (3) sections, all of which are used to review the applicant.

Section I consists of questions relating to the firm's organization structure, including history of business and organizational performance, licenses, disputes and legal issues.

Section II consists of questions relating to the firm's compliance with regulatory agency requirements with respect to safety, workers compensation, prevailing wage, apprenticeship requirements and equal employment opportunity.

A total score of 70% for both sections is required to pass.

Section III consists of a list of reference interview questions relating to the firm's administration, and performance on prior completed construction projects. A score of 60% is required to pass.

In summary, the applicant must successfully pass all three sections to be considered for pre-qualification.

The completed pre-qualification program packet, consisting of the Pre-Qualification & Contractor Standards questionnaire, construction projects completed, current bond letter and current financial statements must be sent to:

City of San Diego
Engineering and Capital Projects Department
Contractor Pre-Qualification Program
1010 Second Avenue, Suite 800
San Diego, CA 92101

CHECKLIST OF REQUIRED SUBMITTALS

- ✓ Pre-Qualification & Contractor Standards Questionnaire
 - All questions answered
 - Signed and dated

- ✓ Reviewed or Audited Financial Statements, dated within the last 12 months, reflecting the most recent 12 month, fiscal year activity. Complete Financial Statements include the following components:
 - Balance Sheet
 - Statement of Income and Retained Earnings
 - Statement of Cash Flows
 - Notes
 - Supplemental Schedules

- ✓ Bond Letter
 - Dollar amount for a single project
 - Dollar amount for an aggregate program
 - Addressed to the City of San Diego
 - Notarized with Power of Attorney

- ✓ Any project(s) completed within the last 12 months. Complete Form A.

(Revised July 2009)

CONTRACTOR PRE-QUALIFICATION PROGRAM

ESSENTIAL REQUIREMENTS FOR PRE-QUALIFICATION RENEWAL

Date _____

Firm Name _____

Firm Address _____

Contact Name _____

Phone Number _____ Email _____

Fax Number _____

NOTE: For purposes of this questionnaire, "Person" is defined as individuals who constitute the management of a corporate or other legal entity. Additionally, it includes any individual or other legal entity that: (a) directly or indirectly (e.g. through an affiliate), submits offers for or is awarded, or reasonably may be expected to submit offers for or be awarded, a contract, or a subcontract under a contract; or, (b) conducts business, or reasonably may be expected to conduct business, with the City as an agent or representative of another person.

Contractor will be immediately disqualified if the answer to any one of questions 1 through 5 is "No".

1. Does the Contractor possess a valid and current California Contractor's license for the project, or projects, for which it intends to submit a bid?

Yes No

2. Does the Contractor have a liability insurance policy with a policy limit of at least \$1,000,000 per occurrence and \$2,000,000 aggregate (will vary dependent upon project size)?

Yes No

3. Does the Contractor have a 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 Not Applicable - Contractor has no employees

4. Have you attached a copy of your most recent Reviewed or Audited Financial Statements, including accompanying notes and supplemental information?

Yes No

NOTE: The Accountant's/Auditor's Report must be for a full year and dated within the last twelve (12) months. Also, see the "General Information" page of this packet for the type of Financial Statements required.

5. Have you attached a letter of current bonding capacity confirming name, address and telephone number of a contact for a California admitted Surety Company? The letter must also include both single and aggregate bonding capacity totals.

Yes No

NOTE: The bond letter should be provided by the surety company or an authorized agent. A letter from an authorized agent must include a power of attorney and notary acknowledgment.

Contractor will be immediately disqualified if the answer to questions 6, 7, 8, 10 or 11 is "Yes". If the answer to question 9 is "Yes", and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.

6. In the last 12 months, has any Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) in your firm had their California State Licensing Board (CSLB) license suspended or revoked?

Yes No

7. In the last 12 months, has your firm, or any Person, been convicted of a crime involving the awarding of a contract of a government (local, state or federal) construction project, or the bidding or performance of a government contract?

Yes No

8. In the last 12 months, has your firm, or any Person, been “defaulted” or “terminated” by an owner (other than for convenience of the project owner) or has your surety completed a contract for your firm?

Yes No

9. At the time of submitting this pre-qualification renewal form, is your firm, or any Person, ineligible to bid on or be awarded any public works contract, or perform as a subcontractor on a public works contract?

Yes No

If the answer is “Yes”, state the beginning and ending dates of the period of debarment or non-responsibility: _____

10. In the last 12 months, has your firm, or any Person, been found guilty in a criminal action, for making any false claim or material misrepresentation to any public agency or entity?

Yes No

11. In the last 12 months, has your firm, or any Person, ever been convicted of a crime involving any federal, state or local law related to construction, including acts of dishonesty?

Yes No

**SECTION I:
ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, COMPLIANCE
WITH CIVIL AND CRIMINAL LAWS**

CURRENT ORGANIZATION AND STRUCTURE OF THE BUSINESS

Firms that Are Corporations:

Date incorporated:

Under the laws of what state:

Is the status of your corporation still valid?

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:

Name	Position	Years with Co.	% Ownership	Taxpayer Identification

Identify every construction firm that any Person listed above has been associated with (as owner, general partner, limited partner or officer) in the last 12 months.

NOTE: For this question, "owner" and "partner" refer 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.

Name	Construction Firm	Date of Participation with Firm

Firms That Are Partnerships:

Date of formation:

Under the laws of what state:

Is the status of your partnership still valid?

Provide all the following information for each Person who owns ten percent (10%) or more of the firm:

Name	Position	Years with Co.	% Ownership	Taxpayer Identification

Identify every construction firm that any Person listed above has been associated with (as owner, general partner, limited partner or officer) in the last 12 months.

NOTE: For this question, “owner” and “partner” refer 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.

Name	Construction Firm	Date of Participation with Firm

Firms With a Joint Venture License:

Date of commencement of joint venture:

Is the status of your joint venture still valid?

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

Provide all the following information for each Person who owns ten percent (10%) or more of the joint venture:

Name	Position	Years with Co.	% Ownership	Taxpayer Identification

NOTE: New joint ventures are not excluded from forming on a project-by-project basis after the pre-qualification process. Please contact the Pre-Qualification Program if you have any questions.

Firms That Are Limited Liability Companies:

Date of formation:

Under the laws of what state:

Is the status of your limited liability still valid?

Provide all the following information for each Person who owns ten percent (10%) or more of the firm:

Name	Position	Years with Co.	% Ownership	Taxpayer Identification

Identify every construction firm that any Person listed above has been associated with (as owner, general partner, limited partner or officer) in the last five (5) years.

NOTE: For this question, “owner” and “partner” refer 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.

Name	Construction Firm	Date of Limited Liability with Firm

Firms That Are Sole Proprietorships:

Date of commencement of business:

Social Security number of company owner:

Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) in the last 12 months:

Name	Construction Firm	Date of Participation with Firm

HISTORY OF THE BUSINESS AND ORGANIZATIONAL PERFORMANCE

1. Has your firm filed for bankruptcy in the last 12 months?

Yes No

(If Yes, attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.)

2. List all California contractor license numbers, classifications and expiration dates held by your firm and its Persons: _____

3. State your firm's gross revenues for each of the last three (3) years:

Year	Gross Revenue

**SECTION II:
COMPLIANCE WITH SAFETY, WORKERS COMPENSATION, PREVAILING WAGE,
APPRENTICE LAWS AND EQUAL EMPLOYMENT OPPORTUNITY (EEO)**

4. In the last 12 months, has CAL OSHA cited and assessed penalties against your firm for any “serious”, “willful” or “repeated” violations of its safety or health regulations?

Yes No

(If Yes, explain on separate signed pages)

NOTE: If you have filed an appeal of a citation, and the Occupational Health Appeals Board has not yet ruled on the appeal, you must answer “Yes” to this question.

5. In the last 12 months, has any other OSHA jurisdiction cited and assessed penalties against your firm for any “serious”, “willful” or “repeated” violations of its safety or health regulations?

Yes No

(If Yes, explain on separate signed pages)

NOTE: If you have filed an appeal of a citation, and the Occupational Health Appeals Board has not yet ruled on the appeal, you must answer “Yes” to this question.

6. In the last 12 months, has the EPA, any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against your firm?

Yes No

(If Yes, explain on separate signed pages)

7. How often do you hold documented safety meetings for construction employees and field supervisors during the course of a project? _____

8. List your firm’s Experience Modification Rate (EMR) - California workers’ compensation insurance for the current year: _____

NOTE: If your EMR is rated 1.00 or higher, attach a letter of explanation.

9. In the last 12 months, was there any occasion(s) which your firm was required, by a compliance agency, to pay either back wages or penalties for your own firm’s failure to comply with the state’s and/or the Federal Davis-Bacon prevailing wage laws?

Yes No

(If Yes, explain on separate signed pages)

NON-DISCRIMINATION

10. List all instances, within the last 12 months, where a finding of discrimination was made against your firm or any of its Persons in a legal or administrative proceeding alleging that the firm discriminated against its employees, subcontractors, vendors, or suppliers, **and** a description of the status or resolution of that complaint, including any remedial action taken.

I, the undersigned, certify and declare that I have read the Pre-Qualification & Contractor Standards Renewal Questionnaire and all its contents. I further declare, under penalty of perjury, that I have answered, or caused to be answered, all questions, based on my knowledge and belief, and that they are true and correct.

Signature _____ Date _____

Name and Title _____

If this form is completed by someone other than the above signer, please print name and title here:

Name _____ Title _____

**SECTION III:
CONSTRUCTION PROJECTS COMPLETED IN THE LAST 12 MONTHS**

Using **Form A**, please provide the following information on projects completed within the last 12 months.

Contact names and phone numbers must be current and verifiable. References will be contacted and interviewed. If the City is not able to contact a reference at the given phone number, that reference will not be used or considered in the evaluation.

- Project Name
- Location
- Owner
- Owner Contact (name and phone number)
- Architect or Engineer
- Architect or Engineer (name and phone number)
- Construction Manager (name and phone number)
- Description of Project, Scope of Work Performed
- Total Value of Construction (including change orders)
- Original Schedule Completion Date
- Time Extension Granted (number of days)
- Actual Date of Completion

**CONTRACTOR PRE-QUALIFICATION PROGRAM RENEWAL
FORM A**

**Firm
Name** _____

CONSTRUCTION PROJECTS COMPLETED IN THE LAST 12 MONTHS

Contact names and phone numbers must be current and verifiable.

References will be contacted and interviewed.

(If the City is not able to contact a reference at the given phone number, that reference will not be used or considered in the evaluation.)

Copy this sheet as necessary and provide the following information:

Project Name: _____

Location: _____

Owner: _____

Contact: _____

Phone: _____

Architect/Engineer: _____

Contact: _____

Phone: _____

Construction Manager: _____

Phone: _____

**Description of Project, Scope
of Work Performed:** _____

Performed work as:

Prime Contractor:

Sub Contractor:

**Total Value of Construction
(including change orders):*** _____

**Original Scheduled
Completion Date:** _____

**Actual Date
of
Completion:** _____

**Extension Time Granted
(number of days):** _____

*Verifiable dollar amounts will be used as part of the bidding capacity calculation.

Note: The City of San Diego reserves the right to check all other sources available.