



Attachment No. 1
PREQUALIFICATION QUESTIONNAIRE
FOR
TRADE CONTRACTORS SEEKING
TO BID ON TRADE CONTRACTS FOR JOB ORDER CONTRACTING (JOC)

For
SPECIALIZED WORK

JOC NO. 020



Due January 4, 2024

TITLE PAGE

**TRADE CONTRACTORS SEEKING TO BID ON
TRADE CONTRACTS FOR JOB ORDER CONTRACTING (JOC) for SPECIALIZED WORK**

1. Full name of firm completing this questionnaire: _____

2. This Application is submitted for consideration of Pre-Qualification as a Trade Contractor for JOC Trade Contracts under the Job Order Contract (JOC) project delivery method. Contractors bidding on trade contracts for Job Order Contracting (herein referred as "Work") for the County must be prequalified in order to submit bids for award for Specialized Work.

3. This JOC Trade Contract prequalification is contingent upon the contractor's demonstrated self-performance of the prime contract for one specific craft or trade under a license for that trade on a construction project. The Applicant has been issued and currently holds any of the following license(s) issued by the Contractor's State License Board for the State of California that is (are) active and in good standing in order to perform Specialized Work ("Eligible License(s)"):

ELIGIBLE LICENSES:

License Classification	Trade Description	Trade License Classification(s) for This Pre-Qualification Application: _____
C12	Paving	
C15	Flooring	
C20	Mechanical (HVAC)	
C33	Painting	
C36	Plumbing	
C39	Roofing	

**FORMAL PREQUALIFICATION QUESTIONNAIRE for
JOC TRADE CONTRACTORS**

Firm Name: _____ Check One: Corporation
(as it appears on license)

Partnership

Other Name: (DBA): _____ Sole Prop.

Contact Person: _____ Title: _____

Email: _____ Cell Phone: _____

Phone: _____ Fax: _____

Address: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company _____

Contractor's Classifications, License Number(s) with Expiration Dates. Please list all Eligible License Classifications that you wish to prequalify for. Please only list the license classifications that your firm intends to perform work under:

DIR Registration Number: _____

Company Union Status: Union Non-Union

Minority Status: MBE DBE DVBE SBE DBE

Other Minority Certification: _____

PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

Contractor will be immediately disqualified if the answer to any of questions 1 through 7 is "no." If the answer to any of questions 8 through 9 is "yes," the Contractor will be immediately disqualified.

1. Contractor has attached a copy of the valid and current California Contractor's license for the specialized work or projects for which it intends to submit a bid.

Yes No

2. Contractor has attached a copy of the liability insurance policy with a policy limit of at least \$1,000,000 per occurrence and \$2,000,000 aggregate.

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 Contractor is exempt from this requirement because it has no employees

4. Contractor has attached the latest copy of a reviewed or audited financial statement with accompanying notes and supplemental information (Attachment II.4).

Yes No Contractor is exempt from this requirement because it is a Certified Small Business

NOTE: A financial statement that is neither reviewed nor audited is not acceptable. 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. If Applicant is exempt on the basis that Applicant is a small business pursuant to Government Code Section 14837(d)(1)¹, a copy of the Small Business Certification (SB) or Small Business Public Works Certification (SB-PW) must be attached

5. Contractor has attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states: (a) that your current bonding capacity is sufficient for the project for which you seek pre-qualification if you are seeking pre-qualification for a single project; or (if you are seeking pre-qualification valid for a year) (b) your current available bonding capacity.²

Yes No

6. Contractor has provided a copy of the corporate resolution that duly certifies individuals or officers to sign any and all documents related to the corporation and who are authorized to contractually bind the corporation upon entering into any construction contract with the County of Riverside.

Yes No

7. Contractor has provided a copy of the registration with the California Department of Industrial Relations.

Yes No

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

Yes No

9. 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

¹ "Small business" means an independently owned and operated business that is not dominant in its field of operation, the principal office of which is located in California, the officers of which are domiciled in California, and which, together with affiliates, has 100 or fewer employees, and average annual gross receipts of fifteen million dollars (\$15,000,000) or less over the previous three years, or is a manufacturer, as defined in subdivision (c), with 100 or fewer employees.

For the purposes of public works contracts, as defined in Section 1101 of the Public Contract Code, and engineering contracts, as described in Section 4525, for public works projects, awarded through competitive bids or otherwise, "small business" means an independently owned and operated business that is not dominant in its field of operation, the principal office of which is located in California, the officers of which are domiciled in California, and which, together with affiliates, has 200 or fewer employees, and average annual gross receipts of thirty-six million dollars (\$36,000,000) or less over the previous three years.

² An additional notarized statement from the surety may be requested by *Public Entity* at the time of submission of a bid, if this pre-qualification package is submitted more than 60 days prior to submission of the bid. NOTE: Notarized statement must be from the surety company, not an agent or broker.

PART II. ORGANIZATION AND HISTORY, PERFORMANCE, COMPLIANCE WITH CIVIL AND CRIMINAL LAWS

A. Current Organization and Structure of the Business

For Firms That Are Corporations:

- 1a. Date incorporated: _____
- 1b. Under the laws of what state: _____
- 1c. Federal Identification Number: _____
- 1d. 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 per cent of the corporation's stock.

Name	Position	Years with Co.	% Ownership	Social Security #

- 1e. 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	Social Security #

- 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

B. History of the Business

- 1. 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.
- 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 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.
- 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.
 Yes No If "yes," explain on a separate signed page.
- 4. State the Applicant's gross revenues for each of the past three (3) full calendar years:
20___: _____ 20___: _____ 20___: _____
- 5. How many years has your organization been in business in California as a contractor under your present business name and license number?
_____ Years
- 6. Bonding capacity: Provide documentation from your surety identifying the following:
Name of bonding company/surety: _____
Name of surety agent, address and telephone number:

C. Eligible Licenses for Specialized Work: C-12, C-15, C-20, C-33, C-36, C-39

7. List the California construction license numbers, for any of the **six (6) eligible license classifications** and expiration dates of the California contractor licenses held by your firm for which you are applying for pre-qualification for JOC Trade Contracts:

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

9. Has your firm changed names or license number in the past five years?

Yes No

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

10. 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.

11. 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.

D. Bankruptcy, Disputes, Criminal Matters, Lawsuits

12. 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.

13. Was your firm in bankruptcy at any time during the last five years?

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.

14. At any time in the last five (5) 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, 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 (5) 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 (5) 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.

* * * * *

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier or another contractor. You need not include information about "pass-through" disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five (5) years has there been a claim **against** your firm concerning your firm's work on a construction project?

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 (5) years has your firm made a claim against a project owner concerning work on a project or payment for a contract?

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 (5) 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 (5) 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.

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. At any time during the last five (5) 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

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.

24. Has your firm been 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 (3) years? state the percentage that your firm was required to pay. If "yes," provide an explanation for a percentage rate higher than one per cent.

_____ %

25. List all other sureties (name and full address) that have written bonds for your firm during the last five (5) years, including the dates during which each wrote the bonds:

26. During the last five (5) 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.

E. Occupational Safety

27. Has 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 (5) 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," attached 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 (5) 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 EPA or any 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. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

31. List your firm's Experience Modification Rate (EMR) (California workers' Compensation insurance) for each of the past three (3) premium years: **NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.**

20 : _____ 20 : _____ 20 : _____

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

32. Within the last five (5) 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.)

F. Prevailing Wage and Apprenticeship Compliance

33. Has there been more than one occasion during the last five (5) years in which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the **California's** prevailing wage laws? **NOTE: This question refers only to your own firm's violation of prevailing wage laws.**

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.

34. During the last five (5) 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.

35. 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 company for use on any public work project for which you are awarded a contract by *the County of Riverside*.

36. If your firm operates its own State-approved apprenticeship program:

- (a) Identify the craft or crafts in which your firm provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

36(a) _____

36(b) _____

36(c) _____

37. At any time during the last five (5) years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998, if the violation was by your firm, as prime contractor on a project, had no knowledge of the violation at the time they occurred.

Yes No

If "yes," provide the date(s) of such findings and attach copies of the Department's final decision(s).

PART III. COMPLETED CONSTRUCTION PROJECTS

38. Trade Contractor shall provide information about its six most recently completed public works projects within the last five (5) years (**six (6) for each of the eligible license classifications**) under which the license classification Contractor is seeking pre-qualification for JOC Trade Contracts. Names and references must be current and verifiable. **NOTE: The County reserves the right to contact all references provided. Interviews that result in objectionable reviews are subject to disqualification**

Project Reference Form
(six projects for each of the eligible license classifications applying for)

License Classification: _____

Project #1:

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: _____

Construction Manager Contact (name and current phone number):

Description of Project (describe in detail the scope of work performed under the license classification):

Method of Project Delivery (hard bid, JOC, design-build, etc): _____

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Person to Contact for Interview (must be one of the contacts listed above for the Owner,

Architect, or Construction Manager): _____

Project #2:

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 _____

Construction Manager Contact (name and current phone number):

Description of Project (describe in detail the scope of work performed under the license classification):

Method of Project Delivery: _____

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Person to Contact for Interview (must be one of the contacts listed above for the Owner,

Architect, or Construction Manager): _____

Project #3:

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: _____

Construction Manager Contact (name and current phone number):

Description of Project (describe in detail the scope of work performed under the license classification):

Method of Project Delivery: _____

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Person to Contact for Interview (must be one of the contacts listed above for the Owner,

Architect, or Construction Manager): _____

Project #4:

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: _____

Construction Manager Contact (name and current phone number):

Description of Project (describe in detail the scope of work performed under the license classification):

Method of Project Delivery: _____

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Person to Contact for Interview (must be one of the contacts listed above for the Owner,

Architect, or Construction Manager): _____

Project #5:

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: _____

Construction Manager Contact (name and current phone number):

Description of Project (describe in detail the scope of work performed under the license classification):

Method of Project Delivery: _____

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Person to Contact for Interview (must be one of the contacts listed above for the Owner,

Architect, or Construction Manager): _____

Project #6:

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: _____

Construction Manager Contact (name and current phone number):

Description of Project (describe in detail the scope of work performed under the license classification):

Method of Project Delivery: _____

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Person to Contact for Interview (must be one of the contacts listed above for the Owner,

Architect, or Construction Manager): _____