

CONTRACTOR'S STATEMENT OF EXPERIENCE AND FINANCIAL CONDITION

Please Type or Print Clearly

SECTION 1 - GENERAL INFORMATION

Contractor: _____
(as name appears on license)

Contact Person: _____ Check One: Corporation _____

Title: _____ Partnership _____

Address: _____ Sole _____

(Street Address)

Proprietorship _____

(City, State, Zip Code)

Joint _____

Venture _____

Phone: (____) _____ Fax: (____) _____ Email: _____

CSLB License No. _____ Class(es): _____ Exp. Date: _____

CA DIR Public Works Contractor Registration No. _____

Have you ever been licensed in California under a different name or different license number?
____ Yes ____ No If yes, list all name(s) and license number(s) on a separate sheet.

District Use Only:
Verified by _____ on _____ by reviewing CSLB Contractor's License Detail

License Clear: ____ Yes ____ No (1-800-321-2752 or www.cslb.ca.gov on internet)

DIR Registration Active: ____ Yes ____ No <https://efiling.dir.ca.gov/PWCR/Search> on internet

1. In the past 5 years, what other construction businesses have the principal or corporate officers been involved in? _____
2. In the past 3 years, has there been any recent change in control of the company? (If yes, explain on separate signed page.) _____ Yes _____ No
3. Is the company or its owners connected with other construction companies as a subsidiary, parent, holding company or affiliate? _____ Yes _____ No
(If yes, explain on separate signed page, listing companies, business addresses, and phone numbers.)

SECTION 2 – RATING QUESTIONS

Highest Possible Rate = 140 Points.

A score less than 105 points disqualifies you from bidding projects proposed by Corona-Norco Unified School District that use this prequalification process as a condition of bidding.

Question	Response	Points (For District Use Only)
<p>1. How many years has your firm been in business in California as a contractor under your present business name and license number?</p> <p>3yrs =2 pts, 4yrs = 3 pts, 5yrs = 4 pts, 6yrs or more = 5 pts</p>	<p>___ # of Years</p>	<p>_____</p> <p>pts.</p>
<p>2. At any time in the last five years, has your firm been assessed and paid liquidated damages after completion of a project, under a construction contract with either a public or private owner?</p> <p>Yes = 0 pts, No = 5 pts <u>If yes, attach a written explanation to firm's Pre-Qualification Statement.</u></p>	<p>_ Yes _ No</p>	<p>_____</p> <p>pts.</p>
<p>3. In the last five years, has your firm been denied an award of public works contract based on a finding by a public agency that your company was not a responsible bidder?</p> <p>Yes = 0 pts, No = 5 pts <u>If yes, attach a written explanation to firm's Pre-Qualification Statement.</u></p>	<p>__ Yes _ No</p>	<p>_____</p> <p>pts.</p>
<p>4. In the past five years, has any claim against your firm concerning your firm's work on a construction project, been filed in court or arbitration?</p> <p>Yes = 0 pts, No = 5 pts <u>If yes, attach a written explanation to firm's Pre-Qualification Statement.</u></p>	<p>__ Yes _ No</p>	<p>_____</p> <p>pts.</p>
<p>5. In the past five years, has your firm made any claim against a project owner concerning work on a project or payment for a contract, and filed that claim in court or arbitration?</p> <p>Yes = 0 pts, No = 5 pts <u>If yes, attach a written explanation to firm's Pre-Qualification Statement.</u></p>	<p>__ Yes _ No</p>	<p>_____</p> <p>pts.</p>
<p>6. At any time during the past five years, has any surety company made any payments on your firm's behalf as a result of default, to satisfy any claims against a performance or payment bond issued on your firm's behalf in connection with a construction project, either public or private?</p> <p>Yes = 0 pts, No = 5 pts <u>If yes, attach a written explanation to firm's Pre-Qualification Statement.</u></p>	<p>__ Yes _ No</p>	<p>_____</p> <p>pts.</p>
<p>7. In the last five years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p>_ Yes __ No</p>	<p>_____</p> <p>pts.</p>
<p>8. 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, act of dishonesty or material representation to any public agency or entity or within the past 5</p>	<p>__ Yes _ No</p>	<p>_____</p> <p>pts</p>

Question	Response	Points (For District Use Only)
<p><u>years, has your firm's contractor's license been revoked? Note: A revocation by the CSLB followed by a "Stay" of revocation is still considered a revocation.</u></p> <p>Yes = -5 pts, No = 5 pts <u>If yes, attach a written explanation to firm's Pre-Qualification Statement.</u></p>		
<p>9. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?</p> <p>Yes = -5 pts, No = 5 pts</p>	<p>__ Yes __ No</p>	<p>_____ pts.</p>
<p>10. During the last three years, was your firm required to pay a premium of more than one percent (>1.0%) for a performance and payment bond on any project(s)? State the percentage that your firm was required to pay.</p> <p>equals 1.0% = 5 pts, equals 1.10% = 3 pts, greater than 1.10% = 0 pts</p>	<p>_____ %</p>	<p>_____ pts.</p>
<p>11. During the last five years, has your firm ever been denied bond credit 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?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p>__ Yes __ No</p>	<p>_____ pts.</p>
<p>12. In the past five years, has CAL OSHA cited and assessed penalties against your firm for any "serious, willful or repeat" violations of its safety or health regulations?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p>__ Yes __ No</p>	<p>_____ pts.</p>
<p>13. For the past three years, have you recorded any workplace injuries and illnesses on the Cal-OSHA form(s) No. 300 and 300A? If yes, attach letter-sized copies of the forms.</p> <p>Yes = 0 pts, No = 5 pts</p>	<p>_ Yes __ No</p>	<p>_____ pts.</p>
<p>14. In the past five years, has EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed either penalties against your firm or the project owner on which your firm was the contractor?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p>__ Yes _ No</p>	<p>_____ pts.</p>
<p>15. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?</p> <p>Yes and weekly = 5 pts, No or less than weekly = 0 pts</p>	<p>_ Yes __ No</p>	<p>_____ pts.</p>
<p>16. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years.</p>	<p>1st YR _____ 2nd YR _____ 3rd YR _____</p>	<p>_____ pts.</p>

Question	Response	Points (For District Use Only)
<p>5 pts for average EMR of .95 or less, 3 pts for average EMR greater than .95 but no more than 1.0; 0 pts for EMR greater than 1.0</p>		
<p>17. Within the last five years, has there ever been a period when your firm had employees but was without worker's compensation insurance or an state-approved self-insurance?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>_____ pts.</p>
<p>18. During the last five years, has there been more than one occasion on which your firm was required to pay either back wages or penalties on your own firm's failure to comply with the State's prevailing wage law?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>_____ # of Instances</p>	<p>_____ pts.</p>
<p>19. At any time during the last five 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?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>_____ pts.</p>
<p>20. During the last three years, has there been more than five occasions on which a portion of a progress payment was withheld due to stop notices?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>_____ pts</p>
<p>21. During the last three years, has there been more than three occasions on which your firm was given notice by an owner to provide adequate personnel and supervision on a construction project?</p> <p>3 or more = 0 pts, 1-2 = 3 pts, 0 = 5 pts</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>_____ # of Instances</p>	<p>_____ pts</p>
<p>22. During the last three years, has there been more than three occasions on which your firm was given notice by an owner to provide adequate material and equipment on a construction project?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>_____ pts</p>
<p>23. During the last five years, has there been any occasion which your firm's lack of construction progress prevented the owner from occupying or making use of any part of the work prior to substantial completion also known as taking beneficial occupancy?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>_____ pts</p>

Question	Response	Points (For District Use Only)
<p>24. In the last five years, has your firm not completed work per the contract's construction duration; impairing the owner's ability to occupy and fully utilizing the work for its intended purposes?</p> <p>Yes = 0 pts, No = 5 pts</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>_____</p> <p>pts</p>
<p>25. Hypothetically as an owner, how do you rate your firm's submission of reasonable cost and time estimates to perform change order work?</p> <p>Good = 5 pts, Fair= 3 pts, Poor = 0 pts</p>	<p><input type="checkbox"/> Good</p> <p><input type="checkbox"/> Fair</p> <p><input type="checkbox"/> Poor</p>	<p>_____</p> <p>pts</p>
<p>26. Hypothetically as an owner, how do you rate your firm's performance of change order work and the integration of the added scope into the existing work?</p> <p>Good = 5 pts, Fair= 3 pts, Poor = 0 pts</p>	<p><input type="checkbox"/> Good</p> <p><input type="checkbox"/> Fair</p> <p><input type="checkbox"/> Poor</p>	<p>_____</p> <p>pts</p>
<p>27. Hypothetically as an architect, how would you rate your firm's timeliness of providing submittals, reports, change order pricing and schedule updates?</p> <p>Good = 5 pts, Fair= 3 pts, Poor = 0 pts</p>	<p><input type="checkbox"/> Good</p> <p><input type="checkbox"/> Fair</p> <p><input type="checkbox"/> Poor</p>	<p>_____</p> <p>pts</p>
<p>28. As a contractor, how do rate your firm's overall performance and quality of work?</p> <p>Good = 5 pts, Fair= 3 pts, Poor = 0 pts</p>	<p><input type="checkbox"/> Good</p> <p><input type="checkbox"/> Fair</p> <p><input type="checkbox"/> Poor</p>	<p>_____</p> <p>pts</p>
<p>TOTAL POINTS</p>		<p>_____</p>

* Principals of the firm are defined as any officers, directors, partners, RMO/RMEs, or any others having an ownership interest in the firm.

With the exception of questions 1, 10, 16, and 25 – 28 if affirmative responses are given to questions or if you answered “Yes” to questions (2-9, 11-15, 17-19 and 20 - 24) then you must attach an explanation for each “Yes” response on a separate sheet, including name of project, date, general description of issues and/or claims made, amount in question, amount of eventual disposition, court, case number, as applicable and any other information to fully explain answer.

SECTION 3 - PERFORMANCE

1. What size projects do you believe your company can undertake?

Single job: \$ _____ Total work in progress: \$ _____

2. List the California public works contracts currently in progress and projects on which you have submitted bids *(Attach separate sheet if needed.)*

Project Owner	Award Date	Contract Price	Start Date	Completion Date

3. List the two largest California public works contracts > \$1,000,000 completed in the past three years:

Project Owner	Owner Reference: Contact name, phone #, current email address	Name of Project & Location	Contract Value:		Completion Date:
			Original \$	Completed \$	<u>Original</u> <u>Actual</u>

4. List five (5) largest California public works projects completed for school districts and community college districts, in the last five (5) years not listed above: *(Attach separate sheet if needed.)*

Project Owner	Owner Reference: Contact name, phone #, current email address	Name of Project & Location	Contract Value:		Completion Date:
			Original \$	Completed \$	<u>Original</u> <u>Actual</u>

District Use Only:

Two projects used for rating development:

Highest: _____ 2nd Highest: _____

Combined Total: _____ x 1.33 = \$ _____

Public Works Rating: \$ _____

(Above total rounded to the nearest \$100,000)

Interview Questions

The following questions may be used by the District to interview contacts from no more than two (2) completed projects. No action on your part is necessary; these questions are for your information only. Highest Possible Rate = 100 Points. A score less than 60 points disqualifies you from bidding projects proposed by Corona-Norco Unified School District that use this prequalification process as a condition of bidding.

1. Rate the contractor with respect to timely payments by the contractor to either subcontractors or suppliers. (Max. 10 points)
2. Did the contractor provide adequate personnel and supervision? (Max. 10 points)
3. Was there adequate material and equipment provided on the job? (Max. 10 points)
4. Was the contractor timely in providing submittals, reports, change order pricing and scheduling updates? (Max. 10 points)
5. Did the contractor adhere to the approved project schedule? (Max. 10 points)
6. Was the project completed on time? (Max. 10 points)
7. Rate the contractor on the submission of reasonable cost and time estimates to perform change order work? (Max. 10 points)
8. How well did the contractor perform the change order work and integrate the additional scope into the existing work? (Max. 10 points)
9. How did the contractor perform in commissioning the project, providing as-built records and operational manuals, training of staff and taking care of warranty items? (Max. 10 points)
10. How would you rate the contractor's overall performance and quality of work? (Max 10 points)

Exchange this page for current original certificates of (1) liability insurance; and (2) workers compensation insurance .

SECTION 6 - SURETY INFORMATION

Current bonding capacity* (single project basis): \$ _____ (aggregate basis): \$ _____

**Attach letter from bonding company addressed to CNUSD confirming bonding capacity on a per project basis and on an aggregate basis.*

List all surety companies, not agencies, utilized by your company in the last five (5) years.

Surety Bonding Company	Contact Name & Phone #	Bonding Co. Rating	List Years Used

Please explain on a separate page, with dates of occurrences, any positive answer to the following questions. For questions 1-7 below, has your firm, any owner, or affiliated company within the past five (5) years:

- | | <u>No</u> | <u>Yes</u> |
|---|------------------|-------------------|
| 1. Been unable to obtain a bond or been denied a bond for a contract? | _____ | _____ |
| 2. Defaulted on a contract where a Surety suffered a loss? | _____ | _____ |
| 3. Failed to complete a contract due to the default of your company? | _____ | _____ |
| 4. Declared bankruptcy or been in receivership? | _____ | _____ |
| 5. Had any sureties bonding your jobs been required or requested to complete any part of the work? | _____ | _____ |
| 6. Are there any currently outstanding liens/stop notices for labor and/or material filed against your firm on any contracts which have been completed or are being completed by your firm? | _____ | _____ |
| 7. For how many projects is your firm currently bonded? | _____ | _____ |

District Use Only: Verified by _____ on _____ by speaking with _____

Exchange this page for a current original letter of bondability which clearly shows bonding agency's estimate of largest single bond amount most likely approvable.

SECTION 7 - FINANCIAL INFORMATION

1. Financial Statement: Submit the appropriate financial statement with this completed application. A compilation and/or a Profit and Loss Statement is not acceptable.

Reviewed or audited statements will be required for projects under \$10 million.

Audited statements will be required for all construction projects totaling \$10 million and over.

District Use Only:		Financial Capacity:	
The maximum dollar rating is determined by the lesser of the following:		A. Ten times <u>working capital</u> (current assets less current liabilities) <u>or</u>	
Inability to meet this rating for a specific project will disqualify a contractor for that project.		B. Ten times the <u>net worth</u> (total assets less total liabilities)	
Based on an _____ Audit	or	_____ Review	Dated: _____
Circle one: Based on Working Capital	Based on Net Worth	\$ _____	
	Line of Credit:	\$ _____	
	Total	\$ _____	
A. _____		B. _____	

2. Accountant's Certificate of Audit of Financial Statement: Your accountant must complete and sign one of the following certificates (page 14), depending on the type of financial statement you are submitting with this application. Include the certificate with your completed application.
3. Accountant's Release Letter: Your completion of this form (page 15) permits the District to contact your accountant to verify that the financial statement you have submitted is the most recent one.
4. Financial Institution Release Letter: Your completion of this form (page 15) permits the District to contact the financial institution that provided a Letter of Credit for this application. You only need to complete this form if you have submitted a Letter of Credit with your application.
5. General Letter of Credit: If you wish the District to consider your line of credit as part of its calculation of your financial capacity, you must submit a Letter of Credit from your financial institution with your application. The financial institution may use the following form (Page 16) or it may use its own letterhead as long as it certifies the credit amount and agrees that the credit will not be withdrawn or reduced without 45 days written notice to the District.

COMPLETE THIS CERTIFICATE FOR AN AUDIT OF FINANCIAL STATEMENT.

STATE OF: _____

I (we) have examined the Financial Statement of _____ as of _____ . My (our) examination was made in accordance with generally accepted auditing standards, and accordingly included such tests of the accounting records and such other auditing procedures as I (we) considered necessary in the circumstances.

In my (our) opinion, the accompanying financial statement included on pages ___ to ___ inclusive, present fairly, in all material respects, the financial position of _____ as of _____ , and the results of its operations and its cash flows for the year(s) then ended in conformity with generally accepted accounting principles.

Print name of Firm

Accountant's Signature

Telephone No.

License No.

COMPLETE THIS CERTIFICATE FOR A REVIEW ONLY OF FINANCIAL STATEMENT.

I (we) have reviewed the accompanying financial statement of _____ as of _____. The information included in the financial statement is the representation of the management of the above firm.

Based on my (our) review with the exception of the matter(s) described in the following paragraph(s), I am (we are) not aware of any material modifications that should be made to the accompanying financial statements in order for them to be in conformity with generally accepted accounting principles.

Print name of Firm

Accountant's Signature

Telephone No.

License No.

(Note: This review consists principally of inquiries of management and appropriate analytical procedures applied to this financial data. It is substantially less in scope than an examination in accordance with **generally accepted** auditing standards, the objective of which is the expression of an opinion regarding the financial statements taken as a whole. Accordingly, I (we) have not expressed such an opinion.)

Special note to Accountant: The above Certificates of Accountant shall not be made by any individual who is in the regular employ of the individual, partnership or corporation submitting the statement; nor by any individual who is an owner of the business with more than a ten percent (10%) financial interest.

ACCOUNTANT'S RELEASE LETTER

By signing the form below, I authorize Corona-Norco Unified School District to contact our company's licensed accounting firm to verify our most recent audited or reviewed financial statement. I understand the financial statement is confidential information and is not open to public inspection.

Name

Contractor's Signature

Title

Company Name

Date

FINANCIAL INSTITUTION RELEASE LETTER

(For use only when augmenting financial rating with a Letter of Credit)

By signing the form below, I authorize Corona-Norco Unified School District to contact our financial institution to verify our line of credit information. I understand this information is confidential information and is not open to public inspection.

Name

Signature

Title

Company Name

Date

The following form may be completed by your financial institution to augment your financial rating. If it prefers, your financial institution may issue a Letter of Credit on its own letterhead, provided the Letter of Credit contains substantially the same provisions, is addressed to the District and bears an original signature. A letter of credit is optional, not mandatory. It may be used to increase your financial capacity by the value of the letter of credit.

General lines of credit are not accepted. A letter of credit must be issued specifically to the District as outlined below.

TO: _____ **School District**

_____, CA 9_____

ATTENTION: _____

SUBJECT: **GENERAL LETTER OF CREDIT**

Reference is made to the prequalification of: _____
Name of Contractor

Under Board Rules of the Board of Education pertaining to the construction, alteration and maintenance of Corona-Norco Unified School District Facilities, we certify that the above Contractor has been extended an unqualified line of credit not to exceed \$_____ and that such credit will not be withdrawn or reduced without 45 days written notice to the District.

Name of Financial Institution

Institution Number Code

Address: _____

Signature/Date: _____

Print Name & Title: _____

Exchange this page for all other appropriate attachments mentioned herein, such as financial statement, certificate of incorporation and minutes, etc., as well as any additional information you wish to add.