ATTACHMENT 1

TO RFQ FOR DBE FIRM

|  |  |  |
| --- | --- | --- |
|  |  | QUALIFICATION QUESTIONNAIRE |
|  |  | New Sixth Appellate District CourthouseCourts of Appeal |

**INTRODUCTION AND OVERVIEW OF THE PRE-QUALIFICATION PROCESS**

* 1. **Submission Requirements**

Each SOQ must be signed under penalty of perjury in the manner designated on the Certification Page, by an individual who has the legal authority to bind the DBE, and for DBEs that are corporations the SOQ must be signed under penalty of perjury by two authorized individuals qualified to legally bind the DBE.

If any information provided by a DBE becomes inaccurate, the DBE must immediately notify the Judicial Council and provide updated accurate information in writing, signed under penalty of perjury.

The RFQ is provided in a fill-in-the-blanks format. The DBE must complete (fill in the blanks of) the Qualification Questionaire as provided. The intent is to have uniformity of submissions, ensure fair and objective review of submissions, and minimize the effort imposed upon the DBE.

1. **Definition of What Comprises a DBE**

A “Design Build Entity” (DBE) means a partnership, corporation, or other legal entity that is able to provide appropriately licensed contracting, architectural, and engineering services as needed pursuant to a design build contract.

Although that definition allows wide latitude in the composition of the DBE, the Judicial Council requires the DBE to identify and list organizations that will provide services on behalf of the DBE. Those core organizations must individually complete the appropriate scored question portion of the Qualification Questionnaire and obtain a passing score to be considered qualified.

There are two portions of the questionnaire, each tailored to the general responsibility of the particular DBE roles.

* **Subpart ‘A’** applies to the General Contractor (GC) Member;
* **Subpart ‘B’** applies to the Architect Member.

Each member must complete the appropriate portions of the SOQ.

1. **Scoring Approach**

The evaluation rating of the DBE will result from consideration of the scores attained in all parts of the questionnaire as presented in the Scoring Worksheets section.

* 1. **PART I: Information About the DBE and Each Proposed Firm**

This is a “pass” or “fail” section. If Design Build Entity fails to respond to all applicable questions, the Design Build Entity will “fail” this portion of the questionnaire and will not prequalify. If Design Build Entity provides all applicable information, it will receive a “pass” and the Judicial Council will proceed to review the Design Build Entity’s Essential Criteria in Section II.

* 1. **PART II: Essential Requirements for the DBE as a Whole**

This part applies to the DBE as a whole unit and is a “Pass” or “Fail” series of questions. All questions must be answered correctly, or the DBE will be disqualified. This is the first step in rating the DBE. If the DBE is able to correctly answer each of these questions, the DBE’s ultimate rating will be dependent upon the scored questions.

**Subpart A: Essential Requirements for the General Contractor (GC) Member of the DBE.**

This part applies to the GC Member. It consists of a series of questions that must be answered.

**Subpart B: Essential Requirements for the Architect Member of the DBE.**

This part applies to the Architect Member. It consists of a series of questions that must be answered.

If the DBE is unable to correctly answer each of these questions, it will be disqualified.

* 1. **PART III: Scored Questions for Individual Members of the DBE**

See the Scoring Worksheets Section to review the scoring criteria.

**Subpart A: Scored Questions for the GC Member**

This part applies to the GC Member. It consists of a series of questions that must be answered. If the GC Member has multiple offices, then responses to all questions shall be based on either the entire company or on the local office responsible for the project, but not a combination of the two. Each question has an established numerical value. The total score attained establishes the rating for the GC Member.

The maximum possible score is shown on the Composite Scorecard below.

**Subpart B: Scored Questions for the Architect Member**

This part applies to the Architect Member of the Design Build Entity for this project. It consists of a series of questions that must be answered. Each question has an established numerical value. The total score attained establishes the rating for the Architect Member.

The maximum possible score is shown on the Composite Scorecard below.

* 1. **PART IV: Recent Construction Projects Completed**

This part will be utilized at the Judicial Council’s discretion. The preferred reference projects are institutional projects approved by the Office of the State Fire Marshal (OSFM), of similar size, scope and complexity. The questions listed may be asked by the Judicial Council’s staff and answered by an Owner’s Representative for each project. Each question has a possible score value ranging from 1 to 10. The scores from all reference interviews will be averaged and multiplied by 0.2 (for weighting of the questions) for inclusion in the final point total if this part is utilized. The maximum possible score is shown on the Composite Scorecard below.

* 1. **Review, Rating and Notification Process**

The completed SOQ must be submitted by the deadline specified above. Once received, the review and notification process will be as follows:

1. The SOQ will be time and date stamped upon receipt.
2. The DBE will be notified if they are shortlisted to proceed to Step 2 upon completion of the Judicial Council’s review.

If the DBE is shortlisted for Step 2 of this Project, they will be eligible to submit a proposal on the Project RFP and will be notified of such opportunity. Shortlisted DBEs choosing to participate in the Step 2 phase will be issued the Performance Criteria Documents and RFP when the Judicial Council releases them for distribution.

If the DBE is not shortlisted for this Project, they will not be issued the Performance Criteria Documents or the RFP and will not be eligible to propose on the Project RFP.

* 1. **Composite Scorecard**

The Composite Scorecard included on the following page is provided for reference only and may change depending on the information being reviewed. The Composite Scorecard indicates the maximum score that can be attained, plus the total for the DBE.

**Composite Scorecard**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  |  | **Maximum** | **Minimum** | **DBE Score** |
| **PART I** | **Information about DBE** | Pass | No Pass | N/A |
| **PART II** | **Essential Requirements** | Pass | No Pass | N/A |
|  |  |  |  |  |
| **PART III** | **Scored Questions for DBE Members** |
| **Subpart A** | General Contractor (GC) Member | 119 | 0 |  |
| **Subpart B** | Architect Member | 53 | 0 |  |
| **Subtotal** | **PART III Combined Score** | **172** | **0** |  |
|  |  |  |  |  |
| **PART IV** | **Recent Construction Projects Completed** |
| **GC** | General Contractor (GC) Member*(20% of Total 130 Maximum Points)* | 26 | 0 |  |
| **ARCHITECT** | Architect Member*(20% of Total 100 Maximum Points)* | 20 | 0 |  |
| **TOTAL** | **PARTS III & IV Score**  | **218** | **0** |  |

Note:

The DBE may use the Composite Scorecard to assist in their self-scoring. However, the final evaluation and rating of a DBE’s qualifications are at the sole discretion of the Judicial Council and its Representatives.

**PART I: Information About the DBE and Each Proposed Firm**

**Lead Person or Firm - Contact Information:**

|  |  |
| --- | --- |
| DBE’s Name: |  |
| Contact: |  |
| Address: |  |
| Phone: |  |
| Fax: |  |
| Email: |  |

**Type of Entity (check one):**

[ ]  Corporation [ ]  Partnership [ ]  Sole Prop. [ ]  Other Association

[ ]  Joint Venture [ ]  Limited Liability Company

List Owner(s), Shareholders, Partners or Members know who will work on the project

If DBE is a corporation, limited-liability company, partnership, joint venture, or other legal entity, a copy of the organization documents or agreement committing to form the organization must be attached.

|  |
| --- |
| **Proposed Firms:** |
| **Discipline** | **Name** | **License #** |
| General Contractor (GC) |  |  |
| Architect  |  |  |

**Experience Working Together:** Provide a listing of all design build projects **completed** within the past seven (7) years with the same GC and Architect team. Include the following information:

1. Description of Project including size, location, contract amount and owner.
2. Start and Completion Date
3. Did the project complete within the originally awarded budget? If no, explain.
4. Did the project complete within the originally awarded schedule? If no, explain.
5. Provide references for each project.

Limit all project information on a separate (single) page and attach. Do not list more than ten projects.

**Information About the GC Member of the DBE**

Provide the following information for the GC member.

|  |  |  |
| --- | --- | --- |
| a. | Type of Business (Corporation, LLB, Joint Venture, etc.): |  |
| b. | Date of company formation or incorporation: |  |
| c. | State of formation or incorporation: |  |
| d. | List the total number of current employees: |  |

1. If your organization is a Joint Venture (JV), provide the following information for each member of the joint venture.

JV Member #1

|  |  |  |
| --- | --- | --- |
| a. | Date of company formation or incorporation: |  |
| b. | State of formation or incorporation: |  |
| c. | List the total number of current employees: |  |
| d. | List the percentage of JV ownership: |  |

JV Member #2

|  |  |  |
| --- | --- | --- |
| a. | Date of company formation or incorporation: |  |
| b. | State of formation or incorporation: |  |
| c. | List the total number of current employees: |  |
| d. | List the percentage of JV ownership: |  |

JV Member #3

|  |  |  |
| --- | --- | --- |
| a. | Date of company formation or incorporation: |  |
| b. | State of formation or incorporation: |  |
| c. | List the total number of current employees: |  |
| d. | List the percentage of JV ownership: |  |

1. Has there been any change in ownership of the GC Member at any time during the last three (3) years?

*NOTE: A corporation whose shares are publicly traded is not required to answer this question.*

[ ]  Yes [ ]  No

**If “Yes,” explain:**

1. Is the GC Member a subsidiary, parent, holding company or affiliate of another firm?

*NOTE: Include information about other firms if one firm owns 50 percent 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:**

1. List all California construction license numbers, classifications, and expiration dates of the California contractor licenses held by the GC Member.

|  |  |  |
| --- | --- | --- |
| **Contractor License** | **Classification** | **Expiration Date** |
|  |  |  |
|  |  |  |
|  |  |  |

1. If any of the GC Member’s licenses are held in the name of a corporation or partnership, list below the names of the qualifying individuals listed on the Contractor’s State License Board (CSLB) records who meet the experience and examination requirements for each license.

|  |  |
| --- | --- |
| **Contractor License Number** | **Name of Qualifying Individual** |
|  |  |
|  |  |
|  |  |

1. Has the GC Member changed names or license numbers in the last five (5) years?

[ ]  Yes [ ]  No

**If “Yes,” explain:**

1. Bonding capacity: Provide documentation from your surety identifying the following:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Bonding Co./Surety: |  |  | Surety Agent: |  |
| Agent Address: |  |  | Telephone #: |  |
| Total Bonding Capacity: |  |  | Total Available Bonding Capacity: |  |

1. 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:

|  |  |  |
| --- | --- | --- |
| **Date** | **Surety** | **Address** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

1. Quality Control Processes:

Does your company have a written Quality Assurance / Quality Control (QA / QC) program?

[ ]  Yes [ ]  No

1. Financial Information: Provide your company’s Total Revenue, Net Income, Current Assets, Current Liabilities, Total Debt, and Total Net Worth for the past **three (3) fiscal years**.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Year Ending****2023** | **Year Ending****2022** | **Year Ending****2021** |
| **Total Revenue** |  |  |  |
| **Net Income** |  |  |  |
| **Current Assets** |  |  |  |
| **Current Liabilities** |  |  |  |
| **Total Debt** |  |  |  |
| **Total Net Worth** |  |  |  |

1. Experience Modification Rate (EMR):

Is your average Experience Modification Rate for the most recent three-year period higher than 1.00?

[ ]  Yes [ ]  No

List your Experience Modification Rate (EMR) for the past three years.

|  |  |
| --- | --- |
| **Year** | **EMR** |
| 2023 |  |
| 2022 |  |
| 2021 |  |

**Information About the Architect Member of the DBE**

1. General Information.

|  |  |  |
| --- | --- | --- |
| a. Date of company formation or incorporation: |  |  |
| b. State of formation or incorporation: |  |  |
| c. Total number of current employees: |  |  |

14. If your organization is a Joint Venture (JV), provide the following information for each member of the joint venture.

JV Member #1

|  |  |  |
| --- | --- | --- |
| a. Date of company formation or incorporation: |  |  |
| b. State of formation or incorporation: |  |  |
| c. Total number of current employees: |  |  |
| d. Percentage of JV ownership: |  |  |

JV Member #2

|  |  |  |
| --- | --- | --- |
| a. Date of company formation or incorporation: |  |  |
| b. State of formation or incorporation: |  |  |
| c. Total number of current employees: |  |  |
| d. Percentage of JV ownership: |  |  |

JV Member #3

|  |  |  |
| --- | --- | --- |
| a. Date of company formation or incorporation: |  |  |
| b. State of formation or incorporation: |  |  |
| c. Total number of current employees: |  |  |
| d. Percentage of JV ownership: |  |  |

* 1. Has there been any change in ownership of the Architect Member at any time during the last three (3) years?

*NOTE: A corporation whose shares are publicly traded is not required to answer this question.*

[ ]  Yes [ ]  No

**If “Yes,” explain:**

* 1. Has the Architect Member changed names or license numbers in the last three (3) years?

[ ]  Yes [ ]  No

**If “Yes,” explain:**

* 1. Has any corporate officer or owner of the Architect Member’s firm worked for any other architectural or engineering firms in the past three years?

(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:**

* 1. Has the Architect Member’s firm changed names in the past three years?

[ ]  Yes [ ]  No

|  |  |  |
| --- | --- | --- |
| Former Name of Firm: |  |  |

* 1. Financial Information: Provide your company’s Total Revenue, Net Income, Current Assets, Current Liabilities, Total Debt, and Total Net Worth for the past three (3) fiscal years.

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Year Ending****2023** | **Year Ending****2022** | **Year Ending****2021** |
| **Total Revenue** |  |  |  |
| **Net Income** |  |  |  |
| **Current Assets** |  |  |  |
| **Current Liabilities** |  |  |  |
| **Total Debt** |  |  |  |
| **Total Net Worth** |  |  |  |

* 1. Is the Architect Member’s firm a subsidiary, parent, holding company or affiliate of another firm?

(NOTE: Include information about other firms if one firm owns 50 percent 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:**

**PART II: Essential Requirements for the DBE as a Whole**

**SubPart A: Essential Requirements for the GC Member of the DBE**

**NOTE: The DBE will be automatically Disqualified if the answer to any of Questions 1 through 8 is “No.”**

1. Does the GC Member possess a valid, current California contractor’s license covering the classification of work for which it intends to submit a proposal?

[ ]  Yes [ ]  No

1. Does the GC Member have a commercial general liability insurance policy with a policy limits as follows: for Contractor, at least $5,000,000 per occurrence and $5,000,000 aggregate?

[ ]  Yes [ ]  No

1. Does the GC Member have current workers’ compensation insurance policies as required by the Labor Code or are they legally self-insured pursuant to Labor Code section 3700 et. seq. or do they intend to obtain such insurance prior to commencing work.

[ ]  Yes [ ]  No

If yes, provide the following information. (Attach a separate page if more than one policy)

|  |  |  |
| --- | --- | --- |
| Insured: |  |  |
| Insurance Company:  |  |  |
| Policy Number:  |  |  |

1. Has the GC Member provided the company’s Total Revenue, Net Income, Current Assets, and Current Liabilities, Total Debt, and Total Net worth for the past three (3) fiscal years. Provide the most current fiscal year data available.

[ ]  Yes [ ]  No

*Note: A financial statement that has not been reviewed or audited is not acceptable. A letter verifying availability of a line of credit is not a substitute for the required financial statement.*

1. Has the GC Member attached a notarized statement from a surety insurer admitted (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states that the GC Member’s current bonding capacity is sufficient to provide payment and performance bonds in the amount of 100% of the contract total for the Project for which pre-qualification is sought?

[ ]  Yes [ ]  No

*Note: A notarized statement must be from the surety company, not from an agent or broker.*

1. GC Member commits that the DBE and its subcontractors at every tier will use a skilled and trained workforce to perform all work on the project that falls within an apprenticeable occupation in the building and construction trades, in accordance with Chapter 2.9 of Part 1 of Division 2 of the Public Contract Code.

[ ]  Yes [ ]  No

1. Confirm that Firm has had no interest and shall not acquire any interest which would present a conflict of interest with the Judicial Council pursuant to California Government Code sections 1090 et seq. and 87100 et seq. or the Judicial Council’s Conflict of Interest Policy For Design-Build Projects.

[ ]  Yes [ ]  No

1. If DBE is a corporation, limited-liability company, partnership, joint venture, or other legal entity, a copy of the organization documents or agreement committing to form the organization is attached.

[ ]  Yes [ ]  No

**NOTE: The DBE will be automatically Disqualified if the answer to any of Questions 9 thru 20 is “Yes.”**

1. Has any Contractor‘s license held by the GC Member or its associates been revoked or suspended at any time in the last five (5) years?

[ ]  Yes [ ]  No

1. Has a surety firm completed a contract on behalf of the GC Member or paid for completion because the firm was terminated for default by the project owner within the last five (5) years?

[ ]  Yes [ ]  No

1. At the time of submitting this Statement of Qualifications, is the GC Member 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. At any time during the last five (5) years, has the GC Member 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

1. Has the GC Member 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

1. Has the GC Member or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

[ ]  Yes [ ]  No

1. Has the GC Member 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

1. Is the GC Member’s Experience Modification Rate averaged over the most recent 3 year period greater than 1.00?

[ ]  Yes [ ]  No

1. Does the GC Member’s average total recordable injury or illness rate and average lost work rate for the most recent three-year period exceed the applicable statistical standards for its business category?

[ ]  Yes [ ]  No

1. Have more than one (1) final, unappealable finding of contempt of court by a federal court been issued against Firm within the immediately preceding two (2) year period because of Firm’s failure to comply with an order of the National Labor Relations Board?

[ ]  Yes [ ]  No

1. Has any person or selling agency been employed or retained to solicit or secure an agreement between Firm and the Judicial Council upon an understanding or agreement for a commission, percentage, brokerage, or contingent fee?

[ ]  Yes [ ]  No

1. Have gratuities, in the form of entertainment, gifts, or otherwise, been offered by Firm or any agent, director, or representative of Firm, to any officer, official, agent, or employee of the Judicial Council with a view toward securing the DBE Agreement or securing favorable treatment with respect to any determinations concerning the performance of the DBE Agreement?

[ ]  Yes [ ]  No

**SubPart B: Essential Requirements for the Architect Member of the DBE**

**NOTE: The DBE will be automatically Disqualified if the answer to any of Questions 21 through 24 is “No.”**

1. Does the Architect Member possess a valid and current California professional license covering the design discipline for their Project role?

[ ]  Yes [ ]  No

1. Does the Architect Member have a professional liability insurance policy or can obtain additional coverage with a policy limit of at least $5,000,000 per claim and $5,000,000 aggregate?

[ ]  Yes [ ]  No

1. Does the Architect Member have current workers’ compensation insurance policies as required by the Labor Code or are they legally self-insured pursuant to Labor Code section 3700 et. seq.?

[ ]  Yes [ ]  No

1. Has the Architect Member provided the company’s Total Revenue, Net Income, Current Assets, and Current Liabilities, Total Debt, and Total Net worth for the past three (3) fiscal years. Provide the most current fiscal year data available.

[ ]  Yes [ ]  No

*Note: A financial statement that has not been reviewed or audited is not acceptable. A letter verifying availability of a line of credit is not a substitute for the required financial statement.*

**NOTE: The DBE will be automatically disqualified if the answer to any of Questions 25 through 29 is “Yes.”**

1. Has the Architect Member’s license been revoked or suspended at any time in the last five (5) years?

[ ]  Yes [ ]  No

1. At any time during the last five (5) years, has the Architect Member or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or performance of a government contract?

[ ]  Yes [ ]  No

1. Has the Architect Member 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

1. Has the Architect Member or any of its owners, officers, or partners ever been convicted of a crime involving any federal, state, or local law related to design or construction?

[ ]  Yes [ ]  No

1. Has the Architect Member 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

**PART III: Scored Questions for Individual Members of the DBE**

**Subpart A: Scored Questions for the GC Member**

1. How many institutional projects approved by the Office of the State Fire Marshal (OSFM), of similar size, scope and complexity has the GC Member constructed in California?

|  |  |
| --- | --- |
| **Number:** |  |
| **Number of Above that were Design Build:** |  |

Provide a listing of the three (3) largest (in area) institutional projects approved by the Office of the State Fire Marshal (OSFM) that the GC Member has constructed within California.

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Name** | **Description** | **Size (sf)** | **Cost** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

2. How many years has the GC Member, or each Contractor Member of a Joint Venture (JV) organization been in business in California as a Contractor under its present business name and license number?

*NOTE: If GC Member is a Joint Venture, add the years for each partner to the Joint Venture and enter the average of the combined experience.*

|  |  |
| --- | --- |
| **Years:** |  |

3. Is the GC Member or any party to the JV currently the debtor in a bankruptcy case?

[ ]  Yes [ ]  No

If “yes”, indicate the case number, and the date on which the petition was filed.

|  |  |  |  |
| --- | --- | --- | --- |
| **Case #:** |  | **Date Filed:** |  |

4. Was the GC Member or any party to the JV in bankruptcy at any time during the last five (5) years? (This question refers only to a bankruptcy action that was not described in answer to Question A3, above).

[ ]  Yes [ ]  No

If “yes”, indicate the case number and the date on which the petition was filed, and the Bankruptcy Court’s Discharge Order Number.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Case #:** |  | **Date Filed:** |  | **Discharge #:** |  |

5. At any time in the last five (5) years has the GC Member or any party to the JV been assessed and paid liquidated damages of more than $100,000 after completion of a project under a construction contract with either a public or private owner?

[ ]  Yes [ ]  No

If “yes”, identify all such projects by owner, owner’s address, completion date of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages**.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Owner:** |  | **Address:** |  |
| **Completed:** |  | **Amount:** |  |
| **Other:** |
|  |

6. In the last five (5) years has the GC Member, or any firm with which any of the GC’s owners, officers, or partners were 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 Questions 4 or 6 on this form.*

[ ]  Yes [ ]  No

If “yes”, identify the company, the person who was associated with that company, the year of the event, the owner of the project, the project, and the basis for the action.

|  |  |  |  |
| --- | --- | --- | --- |
| **Company:** |  | **Person:** |  |
| **Year:** |  | **Owner:** |  | **Project:** |  |
| **Basis:** |
|  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Company:** |  | **Person** |  |
| **Year:** |  | **Owner:** |  | **Project** |  |
| **Basis:** |
|  |

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).

|  |  |  |  |
| --- | --- | --- | --- |
| **Project:** |  | **Date:** |  |
| **Entity:** |  | **Court:** |  |
| **Nature of the Claim:** |
| **Status/Resolution of the Claim:** |

|  |  |  |  |
| --- | --- | --- | --- |
| **Project:** |  | **Date:** |  |
| **Entity:** |  | **Court:** |  |
| **Nature of the Claim:** |
| **Status/Resolution of the Claim:** |

|  |  |  |  |
| --- | --- | --- | --- |
| **Project:** |  | **Date:** |  |
| **Entity:** |  | **Court:** |  |
| **Nature of the Claim:** |
| **Status/Resolution of the Claim:** |

7. In the last five (5) years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the GC Member?

[ ]  Yes [ ]  No

If “yes,” give the name of the insurance carrier, the form of insurance and the year of the refusal.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |

8. 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, indicate the date when your firm was denied coverage and the name of the company or companies that denied coverage; and the period during which you had no surety bond in place.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Date:** |  | **Surety:** |  | **Duration Period:** |  |
| **Explanation:** |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Date:** |  | **Surety:** |  | **Duration Period:** |  |
| **Explanation:** |

9. Has Cal-OSHA cited and assessed penalties against the GC Member for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the last 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”, describe 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.

|  |  |  |  |
| --- | --- | --- | --- |
| **Description:** |  | **Date:** |  |
| **Project:** |  | **Amount:** |  |
| **Nature:** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Description:** |  | **Date:** |  |
| **Project:** |  | **Amount:** |  |
| **Nature:** |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Description:** |  | **Date:** |  |
| **Project:** |  | **Amount:** |  |
| **Nature:** |  |

10. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the GC Member in the last 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,” describe each citation.

**Explanation:**

11. Has the EPA, any Air Quality Management District, or any Regional Water Quality Control Board cited and assessed penalties against either the GC Member or the owner of a project being constructed by the Contractor Member in the last 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”, describe each citation.

**Explanation:**

**Explanation:**

**Explanation:**

12. Does the GC Member have personnel permanently assigned to safety?

 [ ]  Yes [ ]  No

If “yes”, state the names of all personnel who are assigned and list their specific duties.

**Names and Duties:**

13. Has the GC Member been issued an Experience Modification Rate (EMR) (California Workers’ Compensation Insurance) for each of the last three (3) premium years?

[ ]  Yes [ ]  No

If your EMR for any of these three years is or was 1.00 or higher, list the year, provide the rate, and provide an explanation.

*NOTE: Score based on highest EMR in any single Year***.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Premium Year:** |  | **Rate:** |  |
| **Explanation:** |

| **Premium Year:** |  | **Rate:** |  |
| --- | --- | --- | --- |
| **Explanation:** |

|  |  |  |  |
| --- | --- | --- | --- |
| **Premium Year:** |  | **Rate:** |  |
| **Explanation:** |

|  |  |  |  |
| --- | --- | --- | --- |
| **Premium Year:** |  | **Rate:** |  |
| **Explanation:** |

14. How many design build projects has the GC Member been involved with in the last five (5) years? Include completed projects and projects that are currently in design or under construction.

|  |  |
| --- | --- |
| **Number:** |  |

15. Does the GC Member’s company have a written Injury and Illness Prevention Program (IIPP) that complies with California Code of Regulations, Title 8 Sections 1509 and 3203?

[ ]  Yes [ ]  No

16. Using last year’s Cal-OSHA 200 Log, fill in the following number of injuries and illnesses:

|  |  |
| --- | --- |
| * 1. **Number of lost workday cases:**
 |  |
| * 1. **Number of lost workday cases:**
 |  |
| * 1. **Number of fatalities:**
 |  |
| * 1. **Employee hours worked last year:**
 |  |

17. Has the GC member had any violations of federal or state law, including but not limited to, those laws governing the payment of wages, benefits, or personal income tax withholding, or the Federal Insurance Contributions Act (FICA) withholding requirements, settled against a member of the design build entity in the preceding five years? Only Violations by a design build entity member as an employer are applicable, unless it is shown that the design build entity member, in the capacity of an employer, had knowledge of the subcontractor’s violations or failed to comply with the conditions set forth in subdivision (b) of Section 1775 of the Labor Code.

[ ]  Yes [ ]  No

If “yes”, describe each violation.

**Explanation:**

**Explanation:**

**Explanation:**

18. Has the GC member had any violations of the Contractors’ State License Law (Chapter 9 (commencing with Section 7000) of Division 3 of the Business and Professions Code), excluding alleged violations or complaints?

[ ]  Yes [ ]  No

If “yes”, describe each violation.

**Explanation:**

**Explanation:**

**Explanation:**

19. Has a member of the Design Build Entity been convicted for submitting a false or fraudulent claim to a public agency in the preceding five years?

[ ]  Yes [ ]  No

If “yes”, describe an explanation.

**Explanation:**

20. Please identify and furnish resumes for the proposed Project Executive, Project Manager, Lead Cost Estimator and Superintendent. Detailed information may be requested for these individuals if DBE is short listed to receive the Request for Proposal.

**SubPart B: Scored Questions for the Architect Member**

1. How many institutional projects approved by the Office of the State Fire Marshal (OSFM), of similar size, scope and complexity has the Architect Member designed in California?

|  |  |
| --- | --- |
| **Number:** |  |
| **Number of Above That Were Design Build:** |  |

Provide a listing of the three (3) largest (in area) institutional projects approved by the Office of the State Fire Marshal (OSFM) that the Architect Member has designed within California.

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Name** | **Description** | **Size (sf)** | **Cost** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. How many years has the Architect Member been in business in California as an Architect under its present business name and license number?

*NOTE: If the Architect* *Member is Joint Venture, add the years for each partner to the Joint Venture and enter the average of the combined experience.*

|  |  |
| --- | --- |
| **Years:** |  |

1. Is the Architect Member currently the debtor in a bankruptcy case?

[ ]  Yes [ ]  No

If “yes”, indicate the case number, and the date on which the petition was filed.

|  |  |  |  |
| --- | --- | --- | --- |
| **Case #:** |  | **Date Filed:** |  |

1. Was the Architect Member in bankruptcy at any time during the last five (5) years? (This question refers only to a bankruptcy action that was not described in answer to Question B3 above)

[ ]  Yes [ ]  No

If “yes”, indicate the case number and the date on which the petition was filed, and the Bankruptcy Court’s Discharge Order Number.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Case #:** |  | **Date Filed:** |  | **Discharge #:** |  |

1. In the last five (5) years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Architect Member?

[ ]  Yes [ ]  No

If “yes”, give name the insurance carrier, the form of insurance and the year of the refusal.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |
| **Carrier:** |  | **Ins. Form:** |  | **Year:** |  |

1. How many design build projects has the Architect Member been involved with in the last ten (10) years? Include completed projects and projects that are currently in design or under construction.

|  |  |
| --- | --- |
| **Number:** |  |
| **Number of Above That Are Currently in Design or Under Construction:** |  |

1. Please identify and furnish resumes for the proposed Principal, Project Architect and Project Manager. Detailed information may be requested for these individuals if DBE is short-listed to receive the Request for Proposal.

**PART IV: Recent Construction Projects Completed**

The DBE shall provide information not to exceed three (3) of the most recently completed design build projects that have been completed within the last ten (10) years. These projects may be ones in which any of the DBE Members played key roles in the design and / or construction of the projects.

Of those three (3) projects, it is preferred that at least one (1) be an institutional project of similar size, scope, complixity, requiring the Office of the State Fire Marshal approval and constructed in California.

The DBE Members shall provide project information as follows:

1. The GC Member shall provide information on three (3) design build projects.
2. The Architect Member shall provide information on three (3) design build projects.
3. If the GC Member and Architect Member have worked together on previous design build projects, either or both Members may include the project.

Projects that have reached substantial completion may be included. They are to be identified as “Substantially Complete.”

*NOTE: All named representatives and references must be verifiable and all telephone numbers and email addresses must be current. This information will be used in conjunction with the reference checks outlined in the following section.*

**RECENT PROJECT COMPLETED INFORMATION SHEETS** are provided on the following pages.

**RECENT PROJECT COMPLETED INFORMATION SHEET**

**DBE – GC MEMBER**

**PROJECT NUMBER 1 – DESIGN BUILD PROJECT**

|  |  |  |
| --- | --- | --- |
| **Project Name:** |  |  |
| Project Location: |  |  |
| Owner: |  |  |
| Owner’s Representative: |  |  |
| Owner’s Representative’s Phone #: |  |  |
| Owner’s Representative’s E-mail: |  |  |
|  |  |  |
| **Design Build Entity (for this project):** |  |  |
| DBE’s Representative: |  |  |
| DBE’s Representative’s Phone #: |  |  |
| DBE’s Representative’s E-mail: |  |  |
|  |  |  |
| **Architect:** |  |  |
| Architect’s Representative:  |  |  |
| Architect’s Representative’s Phone #: |  |  |
| Architect’s Representative’s Email: |  |  |
|  |  |  |
| **Construction Manager (CM):** |  |  |
| CM’s Representative: |  |  |
| CM’s Representative’s Phone #: |  |  |
| CM’s Representative: Email: |  |  |
|  |
| **Description of the Project and the Scope of Work Performed:** |
|  |
| Total Value of Construction: |  |  |
| Original Completion Date: |  |  |
| Time Extensions Granted: |  |  |
| Actual Completion Date: |  |  |

**RECENT PROJECT COMPLETED INFORMATION SHEET**

**DBE – GC MEMBER**

**PROJECT NUMBER 2 – DESIGN BUILD PROJECT**

|  |  |  |
| --- | --- | --- |
| **Project Name:** |  |  |
| Project Location: |  |  |
| Owner: |  |  |
| Owner’s Representative: |  |  |
| Owner’s Representative’s Phone #: |  |  |
| Owner’s Representative’s E-mail: |  |  |
|  |  |  |
| **Design Build Entity (for this project):** |  |  |
| DBE’s Representative: |  |  |
| DBE’s Representative’s Phone #: |  |  |
| DBE’s Representative’s E-mail: |  |  |
|  |  |  |
| **Architect:** |  |  |
| Architect’s Representative:  |  |  |
| Architect’s Representative’s Phone #: |  |  |
| Architect’s Representative’s Email: |  |  |
|  |  |  |
| **Construction Manager (CM):** |  |  |
| CM’s Representative: |  |  |
| CM’s Representative’s Phone #: |  |  |
| CM’s Representative: Email: |  |  |
|  |
| **Description of the Project and the Scope of Work Performed:** |
|  |
| Total Value of Construction: |  |  |
| Original Completion Date: |  |  |
| Time Extensions Granted: |  |  |
| Actual Completion Date: |  |  |

**RECENT PROJECT COMPLETED INFORMATION SHEET**

**DBE – GC MEMBER**

**PROJECT NUMBER 3 – DESIGN BUILD PROJECT**

|  |  |  |
| --- | --- | --- |
| **Project Name:** |  |  |
| Project Location: |  |  |
| Owner: |  |  |
| Owner’s Representative: |  |  |
| Owner’s Representative’s Phone #: |  |  |
| Owner’s Representative’s E-mail: |  |  |
|  |  |  |
| **Design Build Entity (for this project):** |  |  |
| DBE’s Representative: |  |  |
| DBE’s Representative’s Phone #: |  |  |
| DBE’s Representative’s E-mail: |  |  |
|  |  |  |
| **Architect:** |  |  |
| Architect’s Representative:  |  |  |
| Architect’s Representative’s Phone #: |  |  |
| Architect’s Representative’s Email: |  |  |
|  |  |  |
| **Construction Manager (CM):** |  |  |
| CM’s Representative: |  |  |
| CM’s Representative’s Phone #: |  |  |
| CM’s Representative: Email: |  |  |
|  |
| **Description of the Project and the Scope of Work Performed:** |
|  |
| Total Value of Construction: |  |  |
| Original Completion Date: |  |  |
| Time Extensions Granted: |  |  |
| Actual Completion Date: |  |  |

**RECENT PROJECT COMPLETED INFORMATION SHEET**

**DBE – ARCHITECT MEMBER**

**PROJECT NUMBER 1 – DESIGN BUILD PROJECT**

|  |  |  |
| --- | --- | --- |
| **Project Name:** |  |  |
| Project Location: |  |  |
| Owner: |  |  |
| Owner’s Representative: |  |  |
| Owner’s Representative’s Phone #: |  |  |
| Owner’s Representative’s E-mail: |  |  |
|  |  |  |
| **Design Build Entity (for this project):** |  |  |
| DBE’s Representative: |  |  |
| DBE’s Representative’s Phone #: |  |  |
| DBE’s Representative’s E-mail: |  |  |
|  |  |  |
| **General Contractor (GC):** |  |  |
| GC’s Representative:  |  |  |
| Contractor’s Representative’s Phone #: |  |  |
| Contractor’s Representative’s Email: |  |  |
|  |  |  |
| **Construction Manager (CM):** |  |  |
| CM’s Representative: |  |  |
| CM’s Representative’s Phone #: |  |  |
| CM’s Representative: Email: |  |  |
|  |
| **Description of the Project and the Scope of Work Performed:** |
|  |
| Total Value of Construction: |  |  |
| Original Completion Date: |  |  |
| Time Extensions Granted: |  |  |
| Actual Completion Date: |  |  |

**RECENT PROJECT COMPLETED INFORMATION SHEET**

**DBE – ARCHITECT MEMBER**

**PROJECT NUMBER 2 – DESIGN BUILD PROJECT**

|  |  |  |
| --- | --- | --- |
| **Project Name:** |  |  |
| Project Location: |  |  |
| Owner: |  |  |
| Owner’s Representative: |  |  |
| Owner’s Representative’s Phone #: |  |  |
| Owner’s Representative’s E-mail: |  |  |
|  |  |  |
| **Design Build Entity (for this project):** |  |  |
| DBE’s Representative: |  |  |
| DBE’s Representative’s Phone #: |  |  |
| DBE’s Representative’s E-mail: |  |  |
|  |  |  |
| **General Contractor (GC):** |  |  |
| GC’s Representative:  |  |  |
| Contractor’s Representative’s Phone #: |  |  |
| Contractor’s Representative’s Email: |  |  |
|  |  |  |
| **Construction Manager (CM):** |  |  |
| CM’s Representative: |  |  |
| CM’s Representative’s Phone #: |  |  |
| CM’s Representative: Email: |  |  |
|  |
| **Description of the Project and the Scope of Work Performed:** |
|  |
| Total Value of Construction: |  |  |
| Original Completion Date: |  |  |
| Time Extensions Granted: |  |  |
| Actual Completion Date: |  |  |

**RECENT PROJECT COMPLETED INFORMATION SHEET**

**DBE – ARCHITECT MEMBER**

**PROJECT NUMBER 3 – DESIGN BUILD PROJECT**

|  |  |  |
| --- | --- | --- |
| **Project Name:** |  |  |
| Project Location: |  |  |
| Owner: |  |  |
| Owner’s Representative: |  |  |
| Owner’s Representative’s Phone #: |  |  |
| Owner’s Representative’s E-mail: |  |  |
|  |  |  |
| **Design Build Entity (for this project):** |  |  |
| DBE’s Representative: |  |  |
| DBE’s Representative’s Phone #: |  |  |
| DBE’s Representative’s E-mail: |  |  |
|  |  |  |
| **General Contractor (GC):** |  |  |
| GC’s Representative:  |  |  |
| Contractor’s Representative’s Phone #: |  |  |
| Contractor’s Representative’s Email: |  |  |
|  |  |  |
| **Construction Manager (CM):** |  |  |
| CM’s Representative: |  |  |
| CM’s Representative’s Phone #: |  |  |
| CM’s Representative: Email: |  |  |
|  |
| **Description of the Project and the Scope of Work Performed:** |
|  |
| Total Value of Construction: |  |  |
| Original Completion Date: |  |  |
| Time Extensions Granted: |  |  |
| Actual Completion Date: |  |  |

**RECENT PROJECT COMPLETED INFORMATION SHEET**

**DBE – GC MEMBER**

**PROJECT NUMBER 1 – LARGEST PROJECT WITH A SIGNIFICANT ROLE IN LIEU OF A DESIGN BUILD PROJECT**

|  |  |  |
| --- | --- | --- |
| **Project Name:** |  |  |
| Project Location: |  |  |
| Owner: |  |  |
| Owner’s Representative: |  |  |
| Owner’s Representative’s Phone #: |  |  |
| Owner’s Representative’s E-mail: |  |  |
|  |  |  |
| **Design Build Entity (for this project):** |  |  |
| DBE’s Representative: |  |  |
| DBE’s Representative’s Phone #: |  |  |
| DBE’s Representative’s E-mail: |  |  |
|  |  |  |
| **Architect:** |  |  |
| Architect’s Representative:  |  |  |
| Architect’s Representative’s Phone #: |  |  |
| Architect’s Representative’s Email: |  |  |
|  |  |  |
| **Construction Manager (CM):** |  |  |
| CM’s Representative: |  |  |
| CM’s Representative’s Phone #: |  |  |
| CM’s Representative: Email: |  |  |
|  |
| **Description of the Project and the Scope of Work Performed:** |
|  |
| Total Value of Construction: |  |  |
| Original Completion Date: |  |  |
| Time Extensions Granted: |  |  |
| Actual Completion Date: |  |  |

**RECENT PROJECT COMPLETED INFORMATION SHEET**

**DBE – GC MEMBER**

**PROJECT NUMBER 2 – LARGEST PROJECT WITH A SIGNIFICANT ROLE IN LIEU OF A DESIGN BUILD PROJECT**

|  |  |  |
| --- | --- | --- |
| **Project Name:** |  |  |
| Project Location: |  |  |
| Owner: |  |  |
| Owner’s Representative: |  |  |
| Owner’s Representative’s Phone #: |  |  |
| Owner’s Representative’s E-mail: |  |  |
|  |  |  |
| **Design Build Entity (for this project):** |  |  |
| DBE’s Representative: |  |  |
| DBE’s Representative’s Phone #: |  |  |
| DBE’s Representative’s E-mail: |  |  |
|  |  |  |
| **Architect:** |  |  |
| Architect’s Representative:  |  |  |
| Architect’s Representative’s Phone #: |  |  |
| Architect’s Representative’s Email: |  |  |
|  |  |  |
| **Construction Manager (CM):** |  |  |
| CM’s Representative: |  |  |
| CM’s Representative’s Phone #: |  |  |
| CM’s Representative: Email: |  |  |
|  |
| **Description of the Project and the Scope of Work Performed:** |
|  |
| Total Value of Construction: |  |  |
| Original Completion Date: |  |  |
| Time Extensions Granted: |  |  |
| Actual Completion Date: |  |  |

**RECENT PROJECT COMPLETED INFORMATION SHEET**

**DBE – GC MEMBER**

**PROJECT NUMBER 3 – LARGEST PROJECT WITH A SIGNIFICANT ROLE IN LIEU OF A DESIGN BUILD PROJECT**

|  |  |  |
| --- | --- | --- |
| **Project Name:** |  |  |
| Project Location: |  |  |
| Owner: |  |  |
| Owner’s Representative: |  |  |
| Owner’s Representative’s Phone #: |  |  |
| Owner’s Representative’s E-mail: |  |  |
|  |  |  |
| **Design Build Entity (for this project):** |  |  |
| DBE’s Representative: |  |  |
| DBE’s Representative’s Phone #: |  |  |
| DBE’s Representative’s E-mail: |  |  |
|  |  |  |
| **Architect:** |  |  |
| Architect’s Representative:  |  |  |
| Architect’s Representative’s Phone #: |  |  |
| Architect’s Representative’s Email: |  |  |
|  |  |  |
| **Construction Manager (CM):** |  |  |
| CM’s Representative: |  |  |
| CM’s Representative’s Phone #: |  |  |
| CM’s Representative: Email: |  |  |
|  |
| **Description of the Project and the Scope of Work Performed:** |
|  |
| Total Value of Construction: |  |  |
| Original Completion Date: |  |  |
| Time Extensions Granted: |  |  |
| Actual Completion Date: |  |  |

**Certification**

I, the undersigned, on behalf of the Design Build Entity, certify and declare that I have read all of the foregoing answers to this Statement of Qualifications and know their contents. Reasonable diligence has been used in the preparation of this document and it is true and complete to the best of my knowledge. I declare under penalty of perjury under the laws of the State of California, that the foregoing is correct.

By signature below, I certify that the Design Build Entity will comply with all laws applicable to the project, including but not limited to, the requirements of Chapter 1 (commencing with Section 1720) Part 7 of Division 2 of the Labor Code.

|  |
| --- |
|  |
| (Printed Name of Design Build Entity) |
|  |
| (Printed Name of Individual Firm) |
|  |
| (Printed Name Signatory) |
|  |
| (Signature) |
|  |
| (Date Signed) |

|  |
| --- |
|  |
| (Printed Name of Design Build Entity) |
|  |
| (Printed Name of Individual Firm) |
|  |
| (Printed Name Signatory) |
|  |
| (Signature) |
|  |
| (Date Signed) |

**Recent Completed Client Reference Questions**

**Design Build Entity (DBE) General Contractor (GC) Member**

*Note: The following questions are ones that the Judicial Council interviewers may ask of the selected reference projects, and score value of each question. These questions are provided for information only.*

**The DBE should not fill in the answers on these pages.**

The following questions may be used to interview selected contacts listed on the Recent Project Information Sheets submitted in Part IV. Interviewers may select up to three projects for interviews, including:

* one project from the list of projects labeled as DBE projects,
* one project from the list of projects labeled as Architect Member projects, and
* one project from the list of projects labeled as GC Member projects.

The Judicial Council staff will review the projects, may select the ones to be interviewed and conduct the interviews. No action on the DBE’s part is necessary. The following chart containing questions will be asked of the client interviewed and scored appropriately. One assigned Judicial Council representative will ask questions from all of the listed respondent references and score each accordingly. The questions listed here are for information only.

| **POTENTIAL INTERVIEW QUESTIONS** |  | **Points** |
| --- | --- | --- |
| 1. Are there any outstanding stop notices, liens, or claims by the GC that are currently unresolved on contracts for which notices of completion were recorded more than 120 days ago?

#[ ]  Yes [ ]  No If “yes,” how many separate instances?*10 pts for 0 instances; 5 pts for 1 to 2 instances; and 0 pts for 3 or more instances* |  |  |
| 1. Was the project an institutional facility requiring the Office of the State Fire Marshal approval and constructed in California?

[ ]  Yes [ ]  No *10 points for Yes. 0 points for No* |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, did the GC provide appropriate personnel?
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, did the GC provide appropriate supervision?
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, was there adequate equipment provided on the job?
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, was the GC timely in providing reports, meeting minutes, schedule updates and other paperwork?
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, did the GC adhere to the project schedule that was approved?
 |  |  |
| 1. On a scale of 1-10, with 10 being the best, rate the GC’s performance in turning over Operation and Maintenance manuals, complete As-Built drawings, providing training and completing warranty items.
 |  |  |
| 1. On a scale of 1-10, with 10 being the best, rate the GC’s performance for submitting reasonable claims on the project and for resolving the claims.
 |  |  |
| 1. On a scale of 1-10, with 10 being the best, rate the quality of the overall work on the project.
 |  |  |
| 1. On a scale of 1-10, with 10 being the best, was the GC cooperative with the Owner and Construction Manager?
 |  |  |
| 1. On a scale of 1-10, rate the GC’s performance in resolving disputes in a fair and equitable manner.
 |  |  |
| 1. On a scale of 1-10, with 10 being the best, rate the GC’s performance in completing the project on time.
 |  |  |
| **Total Score** |  |  |
| (Maximum Possible Score 130) |  |  |

**Recent Completed Client Reference Questions**

**Design Build Entity (DBE) Architect Member**

*Note: The following questions are ones that the Judicial Council interviewers may ask of the selected reference projects, and score value of each question. These questions are provided for information only.*

**The DBE should not fill in the answers on these pages.**

The following questions may be used to interview selected contacts listed on the Recent Project Information Sheets submitted in Part IV. Interviewers may select up to three projects for interviews, including:

* one project from the list of projects labeled as DBE projects,
* one project from the list of projects labeled as Architect Member projects, and
* one project from the list of projects labeled as GC Member projects.

Judicial Council staff will review the projects, may select the ones to be interviewed and conduct the interviews. No action on the DBE’s part is necessary. The following chart containing questions will be asked of the client interviewed and scored appropriately. One assigned Judicial Council representative will ask questions from all of the listed respondent references and score each accordingly. The questions are listed here are for information only.

| **POTENTIAL INTERVIEW QUESTIONS** |  | **Points** |
| --- | --- | --- |
| 1. Was the project an institutional facility requiring the Office of the State Fire Marshal approval and constructed in California?

[ ]  Yes [ ]  No*10 points for Yes. 0 points for No* |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, did the Architect provide appropriate personnel?
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, was the Architect timely in providing reports, meeting minutes, submittal reviews and other paperwork?
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, did the Architect adhere to the project schedule that was approved?
 |  |  |
| 1. On a scale of 1-10, with 10 being the best, did the Architect exhibit good teamwork with the Owner and Construction Manager?
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, was the Architect cooperative with the Owner and Construction Manager?
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, rate the Architect’s performance in completing the work on time.
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, rate the Architect’s performance in working with the Owner and Construction Manager to appropriately address the Owner’s operational and design concerns.
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, rate the Architect’s ability to provide the Owner with “Best Value” suggestions and approaches?
 |  |  |
| 1. On a scale of 1 to 10, with 10 being the best, was the Architect timely in updating the record documents and BIM model?
 |  |  |
| **Total Score** |  |  |
| (Maximum Possible Score 100) |  |  |

**SCORING WORKSHEETS**

The rating of the Design Build Entity (DBE) is determined by: 1) confirming the information from the Essential Requirements; 2) adding the point value of all of the responses from the Scoring Questionnaires and; 3) adding the point value of all Reference Interview Questions. The table below gives the value of each scored question for the Essential Requirements and the Scoring Questionnaires.

The Scoring Worksheets list every essential requirement and scored question. The requirements and questions are abbreviated to capture the essence of the item. The abbreviation does not change the actual requirement or question as previously written.

**Pre-Qualification Questionnaire**

**PART II: Essential Requirements for the Design Build Entity as a Whole**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Question****#** | **Requirement / Question** | **Yes** | **No** | **Score** |
|  |  |  |  |  |
| 1 | Does the General Contractor (GC) Member possess a valid and current California contractor’s license as identified in Section 5.0 of this RFQ (verify per Facilities Procedure Manual, “Licensure/Registration Verification Guideline and Process”)?*Yes = 0; No = 1* | [ ]  | [ ]  |  |
| 2 | Does the GC have commercial general liability insurance in the amounts designated?*Yes = 0; No = 1* | [ ]  | [ ]  |  |
| 3 | Does the GC have valid and current workers’ compensation insurance?*Yes = 0; No = 1* | [ ]  | [ ]  |  |
| 4 | Has the GC attached a reviewed or audited financial statement?*Yes = 0; No = 1* | [ ]  | [ ]  |  |
| 5 | Has the GC attached a notarized surety statement?*Yes = 0; No = 1* | [ ]  | [ ]  |  |
| 6 | Does the GC commit to using skilled and trained workforce?*Yes = 0; No = 1* | [ ]  | [ ]  |  |
| 7 | Has the GC confirmed that they have no conflict of interest?*Yes = 0; No = 1* | [ ]  | [ ]  |  |
| 8 | Have any GC licenses been revoked or suspended in the last five years?*Yes = 1; No = 0* | [ ]  | [ ]  |  |
| 9 | Has a surety firm completed a contract on behalf of the GC within the last five years?*Yes = 1; No = 0* | [ ]  | [ ]  |  |
| 10 | Is the GC ineligible to bid on or be awarded a public works contract?*Yes = 1; No = 0* | [ ]  | [ ]  |  |
| 11 | Has the GC been convicted of a crime involving a public works contract?*Yes = 1; No = 0* | [ ]  | [ ]  |  |
| 12 | Has the GC ever been found liable or guilty for making any false claim or material misrepresentation?*Yes = 1; No =0*  | [ ]  | [ ]  |  |
| 13 | Has the GC been convicted of a crime involving any law related to construction?*Yes =1; No = 0*  | [ ]  | [ ]  |  |
| 14 | Has the GC been convicted of a crime of fraud, theft, or dishonesty?*Yes = 1; No =0*  | [ ]  | [ ]  |  |
| 15 | Does the GC have an Experience Modification Rate (EMR) greater than 1.00?*Yes = 1; No =0*  | [ ]  | [ ]  |  |
| 16 | Does GC’s recordable injury or illness rate and average lost work rate exceed statistical standards?*Yes = 1; No =0*  | [ ]  | [ ]  |  |
| 17 | Does GC have more than one contempt of court for failure to comply with an order from the National Labor Relations Board?*Yes = 1; No =0*  | [ ]  | [ ]  |  |
| 18 | Has GC solicited an agreement between Firm and the Judicial Council for a fee?*Yes = 1; No =0*  | [ ]  | [ ]  |  |
| 19 | Has GC offered gratuities to the Judicial Council for securing the DBE Agreement?*Yes = 1; No =0*  | [ ]  | [ ]  |  |
| 20 | Does the Architect Member possess a valid and current California professional license?*Yes = 0; No = 1* | [ ]  | [ ]  |  |
| 21 | Does the Architect possess professional liability insurance in the amounts specified?*Yes = 0; No = 1*  | [ ]  | [ ]  |  |
| 22 | Does the Architect have valid and current workers’ compensation insurance?*Yes = 0; No = 1*  | [ ]  | [ ]  |  |
| 23 | Has the Architect attached a reviewed or audited financial statement?*Yes = 0; No = 1*  | [ ]  | [ ]  |  |
| 24 | Has any Architect’s license been revoked or suspended in the last five years?*Yes = 1; No = 0*  | [ ]  | [ ]  |  |
| 25 | Has the Architect been convicted of a crime involving a public works contract?*Yes = 1; No = 0*  | [ ]  | [ ]  |  |
| 26 | Has the Architect ever been found liable or guilty for making any false claim or material misrepresentation?*Yes =1; No =0*  | [ ]  | [ ]  |  |
| 27 | Has the Architect ever been convicted of a crime involving any law related to design or construction?*Yes =1; No =0*  | [ ]  | [ ]  |  |
| 28 | Has the Architect ever been convicted of a crime of fraud, theft, or dishonesty?*Yes =1; No =0*  | [ ]  | [ ]  |  |
| **Required Score is “0” for Essential Requirements****The DBE is disqualified if Score is Greater than “0”** | **TOTAL** |

**Pre-Qualification Questionnaire**

**PART III: Subpart A: Scored Questions for the GC Member**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Question****#** | **Requirement / Question** | **Yes** | **No** | **Instances** | **Score** |
|  |  |  |  |  |  |
| A1 | How many institutional projects approved by the Office of the State Fire Marshal (OSFM), of similar size, scope and complexity has the GC Member constructed in California?*15 pts for more than 5 projects;* *2 pts per project for 5 or less projects* |  |  |  |  |
| A2 | How many years has the GC been in business in California as a licensed Contractor?*3-5 yrs = 1 pt; 6-8 yrs = 2 pts; 9-11 yrs = 3 pts;**12-14 yrs = 4 pts; 15 yrs or more= 5 pts* |  |  |  |  |
| A3 | Is the GC currently the debtor in a bankruptcy case?*Yes = 0 pts; No = 3 pts* | [ ]  | [ ]  |  |  |
| A4 | Was the GC or its associates in bankruptcy at any time in the last five years?*Yes = 0 pts; No = 3 pts* | [ ]  | [ ]  |  |  |
| A5 | Has the GC been assessed and paid liquidated damages of more than $100,000 in the last five years?*0 to 1 projects = 5 pts; 2 projects = 3 pts;**more than 2 = 0 pts* |  |  |  |  |
| A6 | Has the GC been prevented from bidding on public works projects in the last five years?*Yes = subtract 5 pts; No = add 5 pts* | [ ]  | [ ]  |  |  |
| A7 | Has any insurance carrier refused to renew the insurance policy for the GC?*5 pts for 0 or 1 instance; 3 pts for 2 instances;**0 pts for more than 2* |  |  |  |  |
| A8 | Has the GC been denied bond coverage by a surety company in the last five years?*Yes = 0 pts; No = 5 pts* | [ ]  | [ ]  |  |  |
| A9 | Has Cal-OSHA cited and assessed penalties against the GC for any serious, willful, or repeat violations in last five years?*5 pts for 0 or 1 instance; 3 pts for 2 instances;**0 pts for any other answer* |  |  |  |  |
| A10 | Has the Federal OSHA cited and assessed penalties against the GC in the last five years?*5 pts for 0 or 1 instance; 3 pts for 2 instances;**0 pts for any other answer* |  |  |  |  |
| A11 | Has the EPA, AQMD, or any RWQCB cited and assessed penalties against the GC in the last five years?*5 pts for 0 to 1 instance; 3 pts for 2 instances;**0 pts for any other answer* |  |  |  |  |
| A12 | Does the GC have personnel permanently assigned to safety?*3 pts for Yes; 0 pts for No* | [ ]  | [ ]  |  |  |
| A13 | Has the GC been issued an EMR for each of the last four years?*5 pts for .95 or less; 3 pts if between .96 and 1.00;**0 pts for any other answer* |  |  |  |  |
| A14 | How many design build projects has the GC been involved with in the last five years?*1-2 projects = 1 pts; 3-4 projects = 3 pts;**more than 4 = 5 pts* |  |  |  |  |
| A15 | Does the GC’s company have a compliant Illness and Injury Prevention Program (IIPP)?*5 pts for Yes; 0 pts for No* | [ ]  | [ ]  |  |  |
| A16 | Using last year’s Cal-OSHA 200 Log, fill in the number of injuries and illnesses.*5 pts for 0 on items a-c;* *0 pts for any other answer* |  |  |  |  |
| A17 | Has the GC violated laws governing the payment of wages, benefits, or personal income tax withholding, or the Federal Insurance Contributions Act (FICA) withholding requirements in the preceding five years? *0 pts for Yes; 5 pts for No* | [ ]  | [ ]  |  |  |
| A18 | Has the GC member violated the Contractors’ State License?*0 pts for Yes; 5 pts for No* | [ ]  | [ ]  |  |  |
| A19 | Has the Design Build Entity been convicted for submitting a false claim to a public agency in the preceding five years?*0 pts for Yes; 5 pts for No* | [ ]  | [ ]  |  |  |
| A20 | Review resumes provided for Project Executive, Project Manager and Superintendent? Score a maximum of 20 points for the team’s experience and training to competently manage and complete the construction of the project.*20 pts maximum*  |  |  |  |  |
| **Total for Scored GC Member Questions**(Maximum Possible Score 119) | **TOTAL** |

**Pre-Qualification Questionnaire**

**PART III: Subpart B: Scored Questions for the Architect Member**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Question****#** | **Requirement / Question** | **Yes** | **No** | **Instances** | **Score** |
|  |  |  |  |  |  |
| B1 | How many institutional projects approved by the Office of the State Fire Marshal (OSFM), of similar size, scope and complexity has the Architect designed?*15 pts for 5 or more;* *3 pts per project for less than 5* |  |  |  |  |
| B2 | How many years has the Architect been in business in California?*3-5 yrs = 1 pt; 6-8 yrs = 2 pts; 9-11 yrs = 3 pts;**12-14 yrs = 4 pts; 15 yrs or more= 5 pts* |  |  |  |  |
| B3 | Is the Architect currently the debtor in a bankruptcy case?*Yes =0; No =3* | [ ]  | [ ]  |  |  |
| B4 | Was the Architect in bankruptcy at any time in the last five years?*Yes =0; No =3* | [ ]  | [ ]  |  |  |
| B5 | Has any insurance carrier refused to renew the insurance policy for the Architect?*5 pts for 0 to 2 instances; 3 pts for 3 instances;**0 pts for any other answer* |  |  |  |  |
| B6 | How many design build projects has the Architect been involved with in the last ten years?*12 pts for 6 or more;* *2 pts per project for less than 6* |  |  |  |  |
| B7 | Review resumes provided for Principal, Project Architect and Project Manager? Score a maximum of 10 points for the team’s experience and training to competently manage and complete the design of the project.*10 pts maximum* |  |  |  |  |
| **Total for Scored Architect Questions**(Maximum Possible Score 53) | **TOTAL** |

**Pre-Qualification Questionnaire**

**PART IV: Recent Construction Projects Completed: Scored Reference Projects for the GC Member and the Architect Member**

GC may list no more than three (3) projects between the “design build projects” and “Largest Projects with a Significant Role” categories, and Architect may list no more than three (3).

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Type** | **Project Name** | **Location** | **Score** |
| **General Contractor (GC) Member – design build projects** |
| 1. Design build project #1 |  |  |  |
| 2. Design build project #2 |  |  |  |
| 3. Design build project #3 |  |  |  |
| **Architect Member – design build projects** |
| 4. Design build project #1 |  |  |  |
| 5. Design build project #2 |  |  |  |
| 6. Design build project #3 |  |  |  |
| **General Contractor (GC) Member – Largest Projects with a Significant Role *(Only used if GC Member has not provided 3 design build projects)*** |
| 7. Significant Role Project #1 |  |  |  |
| 8. Significant Role Project #2 |  |  |  |
| 9. Significant Role Project #3 |  |  |  |
|  |
| **Total of All Six (6) Recent Completed Project Scores** |  |
| **Average of All Six (6) Recent Completed Project Scores** |  |
|  |