

**PREQUALIFICATION  
QUESTIONNAIRE**



**FOR**

**HUENEME ROAD RECYCLED WATER  
PIPELINE PROJECT—PHASE II**

## THE PROJECTS AND PREQUALIFICATION

In the coming months, the City of Oxnard ("City") will be bidding a project for the installation of the Hueneme Road Recycled Water Pipeline Project--Phase II ("Project"). The Project entails installing approximately 15,500 feet of 36-inch high density polyethylene ("HDPE") pipe. The pipeline will run along or parallel to Hueneme Road from Olds Road to Wood Road and is being built to transport recycled water. Pipeline construction segments will be on or by Ventura County as well as Caltrans- and privately-owned property. The construction methods include open cut, micro tunneling, and jack and bore.

Prequalification is required for this Project. It is mandatory that all contractors who intend to submit a bid for the Project fully complete the prequalification questionnaire and provide all materials requested herein (collectively, the "Prequalification Packet") by the due date as well as be approved by the City to be on the final qualified bidders' list. No bid will be accepted from a contractor that has failed to comply with these requirements.

Each contractor must submit one Prequalification Packet for the Project and may not submit more than one Prequalification Packet. If two or more business entities intend to submit a bid or bids as part of a joint venture, each entity comprising the joint venture must submit its own Prequalification Packet. The forthcoming bid packet will clarify the details of the Project.

### CONTACT INFORMATION

Firm Name: \_\_\_\_\_ Check One:  Corporation/S-Corp  
(as it appears on license)  LLC  
 Partnership  
Fictitious Name, if any: \_\_\_\_\_<sup>1</sup>  Solo Practitioner

Contact Person No. 1: \_\_\_\_\_

Title: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_ Fax: \_\_\_\_\_

Contact Person No. 2: \_\_\_\_\_

Title: \_\_\_\_\_ Phone: \_\_\_\_\_

Address: \_\_\_\_\_

Email: \_\_\_\_\_ Fax: \_\_\_\_\_

(If Contractor is a solo practitioner or partnership, list the owner above.)

\_\_\_\_\_

<sup>1</sup> If Contractor is doing business under a fictitious name, provide a copy of the filed valid Fictitious Business Name Statement with your submitted Prequalification Packet.

**PART I. ORGANIZATION & HISTORY**

**A. Current Organization and Structure of the Business**

1. If Contractor is:
  - A corporation or s-corp, what was the date of incorporation?
  - An LLC or partnership, what was the date of formation?
  - A solo practitioner, what was the date of commencement of business? \_\_\_\_\_
  
2. If Contractor is:
  - A corporation or s-corp, it was incorporated under the laws of what state?
  - An LLC or partnership, it was formed under the laws of what state?  
(If Contractor is a solo practitioner, write "N/A.") \_\_\_\_\_
  
3. Provide all the following information for each person who is an officer (president, vice president, secretary, treasurer, etc.), manager, member, general partner, limited partner or owner of at least ten percent (10%) of the Contractor or, if a corporation or s-corporation, at least ten percent (10%) of the Contractor's stock. If you need more rows, continue on a separate signed page.

Name	Position	Years with Company	Percentage Ownership

\* List all current and prior D.B.A.'s, aliases, and fictitious business names for any principal having interest in this bid. If any principal is doing business under a fictitious name, provide a copy of the filed valid Fictitious Business Name Statement with your submitted Prequalification Packet.

4. Identify every construction firm with which any person listed in the prior question has been associated—as officer, manager, member, general partner, limited partner, or other owner of at least ten percent (10%) of the business, or if the business is a corporation or s-corporation, of its stock—any time during the last five (5) years. If you need more rows, continue on a separate signed page.

Name	Construction Company	Dates of Participation with This Company

5. a. If Contractor is a solo practitioner, what is his or her social security number or INS-issued alternative identification number?

\_\_\_\_\_

- b. List all of Contractor's current and prior D.B.A.'s, aliases and fictitious business names.

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\_\_\_\_\_

### B. History of the Contractor and Organizational Performance

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

**NOTE: A corporation or s-corporation whose shares are publicly traded is not required to answer this question with a "yes" or "no," so select the third option.**

Yes       No       The corporation or s-corp's shares are publicly traded.

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

2. Is the Contractor a subsidiary, parent, holding company or affiliate of another firm?

**NOTE: Include information about other firms if one firm owns thirty percent (30%) or more of another or if an officer, manager, member, general partner, limited partner, or other owner owns at least ten percent (10%) of the firm (or of its stock if the firm is a corporation or s-corporation).**

Yes       No

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

3. What were Contractor's gross revenues for each of the last three (3) years (under present business name and license number)?

2016: \_\_\_\_\_      2015: \_\_\_\_\_      2014: \_\_\_\_\_

## PART II. ESSENTIAL REQUIREMENTS

**Contractor will be immediately disqualified if the answer to questions 1 or 2 is “no,” the answer to any of questions 3 through 8 is “yes,” or any question is not answered.**

1. Does Contractor possess a valid and current California Contractor’s A license for the Project?  
 Yes       No
2. Does Contractor have current workers’ compensation insurance policy as required by the Labor Code, or is Contractor legally self-insured pursuant to Labor Code section 3700 *et. seq.*?  
 Yes       No       Contractor is exempt from this requirement, because it has no employees
3. Has Contractor’s license been revoked at any time in the last five (5) years?  
 Yes       No
4. At any time during the last five (5) years, has Contractor or any of its officers, managers, members, general partners, limited partners, or other owners of at least ten percent (10%) of the business (or of its stock if Contractor is a corporation or s-corporation) 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
5. Has Contractor or any of its officers, managers, members, general partners, limited partners, or other owners of at least ten percent (10%) of the business (or of its stock if Contractor is a corporation or s-corporation) ever been found liable in a civil suit or guilty in a criminal action for making any false claim or material misrepresentation to any client?  
 Yes       No
6. Has Contractor or any of its officers, managers, members, general partners, limited partners, or other owners of at least ten percent (10%) of the business (or of its stock if Contractor is a corporation or s-corporation) ever been convicted of a crime involving any federal, state, or local law related to construction?  
 Yes       No
7. Has Contractor or any of its officers, managers, members, general partners, limited partners, or other owners of at least ten percent (10%) of the business (or of its stock if Contractor is a corporation or s-corporation) ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?  
 Yes       No
8. At the time of submitting a Prequalification Packet, is Contractor ineligible to bid on or be awarded a construction contract, or perform as a subcontractor on a construction contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?  
 Yes       No

**PART III. LICENSES**

1. List all California construction license numbers, classifications and expiration dates held by Contractor:

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2. If one or more of Contractor's license(s) are held in the name of a corporation, s-corporation or partnership, list below the names of the qualifying individual(s) listed on the CSLB records who meet the experience and examination requirements for each license. Write "N/A" below if none of Contractor's licenses are held in the name of a corporation, s-corporation or partnership.

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3. Has Contractor changed names or license numbers in the past five (5) years?  
 Yes       No  
If "yes," explain on a separate signed page, including the reason for the change.

4. Has any officer, manager, member, general partner, limited partner, or other owner of at least ten percent (10%) of the Contractor (or of its stock if the Contractor is a corporation or s-corporation) operated a construction firm under any other name in the last five (5) years?  
 Yes       No  
If "yes," explain on a separate signed page, including the reason for the change and/or what happened to that other company.

5. Has any CSLB license held by the Contractor, its Responsible Managing Employee (RME) or its Responsible Managing Officer (RMO) been suspended within the last five (5) years?  
 Yes       No  
If "yes," explain on a separate signed sheet, including each such suspension's reasons or circumstances and the duration of each suspension. Include all documents the Contractor received from the CLSB regarding each suspension.

## PART IV. DISPUTES

1. In the last five (5) years, has Contractor 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 the project began, the date the project should have been completed, the actual completion date, the amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.
  
2. In the last five (5) years, has Contractor or any firm with which any of Contractor's officers, managers, members, general partners, limited partners, or other owners of at least ten percent (10%) of Contractor (or of its stock if Contractor is a corporation or s-corporation) were associated been debarred, disqualified, removed or otherwise prevented from bidding on or competing for any construction project for any reason?  
**NOTE: "Associated with" in this context refers to another construction firm in which Contractor's officer, manager, member, general partner, limited partner, or other owner of at least ten percent (10%) of the business (or of its stock if the business is a corporation or s-corporation) held a similar position and which is listed in response to questions 1 and 2 in Part 1(B) of this questionnaire.**  
 Yes       No  
If "yes," explain on a separate signed page. State whether the firm involved was the Contractor applying for this prequalification or another firm. Identify by name the firm, the name of the person within Contractor who was associated with that firm, the year of the event, the owner of the project, a short summary of the project and the basis for the action.
  
3. In the last five (5) years, has Contractor or any firm with which any of Contractor's officers, managers, members, general partners, limited partners, or other owners of at least ten percent (10%) of Contractor (or of its stock if Contractor is a corporation or s-corporation) ever had a contract terminated by an owner for any reason?  
 Yes       No  
If yes, explain on a separate signed page, identifying all such projects by owner and for each the owner's address, the date of completion of the project, and a full explanation of why the contract was terminated.
  
4. In the last five (5) years, has Contractor: been denied the ability to bid on a construction contract based on a public agency determining that Contractor was not prequalified; or been denied an award of a construction contract based on a finding by a public agency that Contractor 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.

5. In the past five (5) years, has any project owner filed any claim regarding a dispute of \$50,000 or more against Contractor concerning its work on a construction project in court or arbitration?  
 Yes       No  
If "yes," on a separate signed page identify the claim(s) by providing the project name, date of the claim, name of the claimant, claimant's contact information (phone number, address and email), a brief description of the nature of the claim and any defenses, the court or tribunal (e.g., Superior Court, American Arbitration Association, etc.), the matter number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).
6. In the past five (5) years, has Contractor filed any claim regarding a dispute of \$50,000 or more against a project owner concerning work on a project or payment for a contract in court or arbitration?  
 Yes       No  
If "yes," on a separate signed page identify the claim(s) by providing the project name, date of the claim, name of the claimant, claimant's contact information (phone number, address and email), a brief description of the nature of the claim and any defenses, the court or tribunal (e.g., Superior Court, American Arbitration Association, etc.), the matter number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).
7. In the past five (5) years, has any subcontractor filed any claim regarding a dispute of \$50,000 or more against Contractor concerning a construction project in court or arbitration?  
 Yes       No  
If "yes," on a separate signed page identify the claim(s) by providing the project name, date of the claim, name of the claimant, claimant's contact information (phone number, address and email), a brief description of the nature of the claim and any defenses, the court or tribunal (e.g., Superior Court, American Arbitration Association, etc.), the matter number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).
8. In the last five (5) years, has any insurance carrier for any form of insurance refused to renew the insurance policy for Contractor?  
 Yes       No  
If "yes," explain on a separate signed page. For each refusal, name the insurance carrier, the form of insurance, the year of the refusal, and the insurance company's explanation if one was provided as to the rationale behind its decision.

**PART V. BONDING**

1. In the last three (3) years, what was the highest premium Contractor was required to pay on a performance or payment bond?

Contractor has never had to pay a premium over one percent (1%) on these bonds

Contractor was required to pay a premium over one percent (1%) on at least one of these bonds, and the highest premium was: \_\_\_\_\_%.

2. Has a surety firm completed a contract on Contractor's behalf or paid for completion because Contractor was in default on any project within the last five (5) years?

Yes       No

If yes, provide details on a separate signed page indicating the project information, the surety, the amount of the contract, the amount of work the surety had to complete, and any other relevant circumstances.

3. During the last five (5) years, has Contractor ever been denied bond coverage by a surety company or has there ever been a period of time when Contractor had no surety bond in place during a construction project when such a bond was required?

Yes       No

If yes, provide details on a separate signed page indicating the date when Contractor was denied coverage, the name of the company or companies that denied coverage, and the period during which Contractor had no surety bond in place.

**PART VI. COMPLIANCE WITH OCCUPATIONAL SAFETY AND HEALTH LAWS AND OTHER LABOR LEGISLATION**

1. What is Contractor's DIR registration number? (If you are not yet registered, write "not yet registered.") \_\_\_\_\_
  
2. Within the last five (5) years, has there ever been a period when Contractor had employees but was without workers' compensation insurance or state-approved self-insurance?  
 Yes       No  
If "yes," explain the reason for the absence of workers' compensation insurance on a separate signed page. If "no," provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five (5) years. (If Contractor has been in the construction business for less than five (5) years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that Contractor has been in business.)
  
3. During the last five (5) years, was Contractor ever required to pay either back wages or penalties for Contractor's failure to comply with prevailing wage laws?  
**NOTE: This question refers only to Contractor's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.**  
 Yes       No  
If "yes," attach a separate signed page, 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 Contractor was required to pay.
  
4. Has CAL OSHA or federal OSHA cited and assessed penalties against Contractor for any "serious," "willful" or "repeat" violations of its safety or health regulations in the past five (5) years?  
**NOTE: If Contractor has filed an appeal of a citation, and the OSHA Appeals Board has not yet ruled on its appeal, or if there is a court appeal pending, you need not include information about it.**  
 Yes       No  
If "yes," attached a separate signed page describing each such citation, including information about the date of the citation, the nature of the violation, the project on which the citation was issued, and the amount of penalty paid, if any. If the citation was appealed to the OSHA Board and a decision has been issued, state the decision, the case number and the date of the decision

## **PART VII. EXPERIENCE AND REFERENCES**

On separate signed pages, Contractor must list the five (5) most similar projects within the past five (5) years it has worked on or is currently working on. In particular, the City is interested in large (both in pipe diameter and length) HDPE projects that obtained permits from other agencies. For each project, include all of the following information:

1. Project name
2. Location
3. Owner
4. Project Manager's name, current phone number and current email
5. Original contract amount
6. Final amount paid
7. Project schedule
8. Scope of work
9. Pipeline length, diameter and material
10. How this project was similar to the City's Project
11. Pipeline fusion technique used
12. Trades (e.g., electrical) of all subcontractors used
13. Permits granted from other agencies

Names and references must be current and verifiable.

You may, but are not obligated to, explain why a final contract amount differed from the original amount (e.g., change orders, extra work, other circumstances), the substance and outcome of any claims you or the Owner filed against each other, or any other relevant information.

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**PART VIII. CERTIFICATION**

I, the undersigned, certify and declare I have read all the answers and supplemental materials in this Prequalification Packet, and I know its contents. I certify under penalty of perjury that I have provided complete and truthful information to the City of Oxnard (“City”) regarding all information in this Prequalification Questionnaire. I understand that any misrepresentations or material omissions within this Prequalification Packet will be grounds for not prequalifying the Contractor, withdrawing any prior prequalification, or not awarding the contract to Contractor. Additionally, any misrepresentations or material omissions within this Prequalification Packet are considered breaches of the Project’s contract (should the Contractor be awarded that contract); the City shall have the right to terminate the contract immediately without consequences, and the City retains all other legal rights available to the City for breach of contract.

I, the undersigned, hereby give permission to the City and its employees and agents to contact references—including those references’ officials, employees, agents and project managers (collectively, “References”)—of the Contractor and its officers, managers, members, general partners, limited partners, or other owners of at least ten percent (10%) of the business, or if the business is a corporation or s-corporation, of its stock (collectively, “Owners”), and request information from other clients—including those clients’ officials, employees, agents and project managers (collectively, “Other Clients”). I further give permission for the City to review any criminal records of the Owners and obtain public records regarding the Owners, such as records of arrests, indictments, convictions, civil judicial actions, tax liens, and outstanding judgments. I have authority to waive, and I do waive, any and all rights and claims by Contractor and its Owners against the City and its officials, employees and agents, the References, and the Other Clients regarding any actions taken pursuant to, related to or incidental to, the authorization given in this paragraph. Furthermore, I agree that the City and its officers, employees and agents have no obligation to share any information with the Contractor or any of its Owners.

I am executing this Prequalification Packet on behalf of Contractor. I warrant and represent under penalty of perjury that: 1) I am listed in the CSLB’s records for Contractor; 2) I have the authority to execute this Prequalification Questionnaire on behalf of Contractor; 3) I have the authority to bind Contractor to the answers provided in this Prequalification Questionnaire; and 4) if any information provided herein becomes inaccurate, I will immediately notify the City and provide updated accurate information in writing, under penalty of perjury.

(Please sign in ink.)

Date: \_\_\_\_\_ Contractor’s Name

\_\_\_\_\_  
Name, Title and Signature

\_\_\_\_\_  
Name, Title and Signature

The City requires the following: for a corporation or s-corporation, two signatures: (1) the Board President, CEO or Vice President, and (2) the Board Secretary, Assistant Secretary, CFO or Assistant Treasurer; for an LLC, two signatures, both of whom must be managers of the LLC; and for a partnership or limited partnership, the signatures of all partners. If your entity has a different structure, or if the above-listed persons are not the appropriate signers, submit to the City Attorney legally-binding documentation stating who can sign and bind Contractor.