

## **UPCCAA PRE-QUALIFICATION APPLICATION**

### **1. Bidder's Organization**

- 1.1 Form of entity of Bidder (i.e., corporation, partnership, etc.) \_\_\_\_\_
- 1.1.1 If a corporation, state the following:  
State of incorporation: \_\_\_\_\_  
Date of incorporation: \_\_\_\_\_  
President/Chief Executive Officer: \_\_\_\_\_  
Secretary: \_\_\_\_\_  
Treasurer/Chief Financial Officer: \_\_\_\_\_
- 1.1.2 If a partnership, state the following:  
Type of partnership, i.e., general partnership, limited partnership: \_\_\_\_\_  
\_\_\_\_\_  
Names of all general partners, if any of the general partners are not natural persons, provide the information for each such general partner requested by Paragraphs 1.1.1, 1.1.2 and 1.1.4; as appropriate: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 1.1.3 If a proprietorship, state the names of all proprietors: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 1.1.4 If a joint venture, state the following:  
Date of organization: \_\_\_\_\_  
Names of all joint venture members. For each member of the joint venture, provide the information requested by Paragraphs 1.1.1, 1.1.2 and 1.1.3 for each joint venture member, as applicable: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 1.2 Number of years your organization has been in business as a contractor: \_\_\_\_\_
- 1.3 Number of years your organization has conducted business under its present name: \_\_\_\_\_
- 1.4 If your organization has conducted business under a name or name style different than your organization's present name, identify all prior name(s) or name style(s): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- 1.5 Your organization's Federal Tax Identification Number: \_\_\_\_\_

1.6 Your organization's Department of Industrial Relations (DIR) Registration Number, in accordance with the requirements of Labor Code Section 1725.5: \_\_\_\_\_

1.7 Check all certifications that apply:

☐ DBE      ☐ MBE      ☐ WBE      ☐ DVBE      ☐ SBE

## **2. Licensing**

2.1 California Contractors License: Number: \_\_\_\_\_  
Expiration Date: \_\_\_\_\_  
Responsible Managing Employee/Officer: \_\_\_\_\_  
License Classification(s): \_\_\_\_\_

2.2 Has a claim or other demand ever been made against your organization's California Contractors License Bond? \_\_\_ Yes \_\_\_ No  
If yes, on a separate attachment, state the following: (i) the name, address and telephone number of each person or entity making claim or demand; (ii) the date of each claim or demand; (iii) the circumstances giving rise to each such claim or demand; and (iv) the disposition of each such claim or demand.

2.3 Has a complaint ever been filed against your organization's California Contractors License with the California Contractors State License Board? \_\_\_ Yes \_\_\_ No  
If yes, on a separate attachment, state the following for each complaint: (i) the name, address and telephone number of each person or entity making the complaint; (ii) the date of each complaint; (iii) the circumstances giving rise to each such complaint; and (iv) the disposition of each such complaint, including without limitation, any disciplinary or other action imposed or taken by the California Contractors State License Board as a result of any such complaint.

## **3. Experience**

3.1 Categories of work (other than management/supervision) your organization typically performs with your own forces \_\_\_\_\_  
\_\_\_\_\_

3.2 On a separate attachment, list all construction project completed by your organization in the past two (2) years and for each project identified, state: (i) a general description of the work performed by your organization on the project; (ii) the dollar value of the work performed or to be performed by your organization; (iii) the project owner's name, name of the project owner's representative and the address and telephone number of the owner and the project owner's representative; and (iv) the project architect's name, address, telephone number and contact person.

3.3 On a separate attachment, list all construction project your organization has in progress and for each project listed, state: (i) a general description of the work performed by your organization on the project; (ii) the dollar value of the work performed or to be performed by your organization; (iii) the project owner's name,

name of the project owner's representative and the address and telephone number of the project owner and the project owner's representative; (iv) the project architect's name, address, telephone number and contact person; (v) percent presently complete; and (vi) the current scheduled completion date.

#### **4. Performance History**

- 4.1 Claims and lawsuits (if you answer yes to any of the following, you must attach details).
- 4.1.1 Have any lawsuits or other administrative, legal, arbitration or other proceedings, ever been brought or commenced against your organization or any of its principals, officers or equity owners in connection with any construction contract or construction project?  
\_\_\_ Yes \_\_\_ No  
If so, describe the circumstances, the amount demanded or other relief demand and the disposition of each such lawsuit or other proceeding.
- 4.1.2 Has your organization ever filed a lawsuit or commenced other administrative, legal or other proceedings in connection with any construction contract or construction project?  
\_\_\_ Yes \_\_\_ No  
If so, describe the circumstances, the amount demanded or other relief demand and the disposition of each such lawsuit or other proceeding.
- 4.1.3 Are there any judgments, orders, decrees or arbitration awards pending, outstanding against your organization or any of the officers, directors, employees or principals of your organization? \_\_\_ Yes \_\_\_ No  
If so, describe each such judgment, order, decree or arbitration award and the present status of the satisfaction or discharge thereof.
- 4.2 Has your organization ever refused to sign a construction contract awarded to it?  
\_\_\_ Yes \_\_\_ No  
If so, on a separate attachment, state the following: (i) describe each such contract; (ii) the owner's name, address, telephone number and contact person; and (iii) the circumstances of your refusal to sign such contract.
- 4.3 Has your organization ever failed to complete a construction contract?  
\_\_\_ Yes \_\_\_ No  
If so, on a separate attachment, state the following: (i) describe each such contract; (ii) the owner's name, address, telephone number and contact person; and (iii) the circumstances of your failure to complete such contract.
- 4.4 Has your organization ever been declared in default of a construction contract?  
\_\_\_ Yes \_\_\_ No  
If so, on a separate attachment, state the following: (i) describe each such contract; (ii) the owner's name, address, telephone number and contact person; and (iii) the circumstances of each such declaration of default.
- 4.5 Has any construction contract to which your organization is a party been terminated for the convenience of the project owner?  
\_\_\_ Yes \_\_\_ No  
If so, identify the project and project owner along with a description of the circumstances under which the convenience termination occurred.

- 4.6 Has a claim or other demand ever been asserted against any Bid Bond, Performance Bond, or Payment Bond posted by your organization in connection with any construction contract or your submittal of a bid proposal for a construction contract?

☐ Yes ☐ No

If so, on a separate attachment, state the following: (i) the name, address, telephone number and contact person for each claimant; (ii) the date upon which each such demand or claim was made; and (iii) the disposition of each such demand or claim.

- 4.7 Has your organization or any predecessor to your organization been charged with a violation of the California False Claims Act or similar federal statute within the past ten (10) years?

☐ Yes ☐ No

If yes, on a separate attachment, provide the following: (i) a detailed description of the circumstances upon which charges were based; (ii) the public agency involved, including name, address, telephone and email address of contact person(s) at such public agency; and (iii) disposition of such charges.

- 4.8 Has any individual or entity who owns ten percent (10%) or more of the equity interest of your organization been an equity owner of ten percent (10%) or more of the equity interest of any other entity or organization, within the past ten (10) years, which has been charged with a violation of the California False Claims Act or similar federal statute within the past ten (10) years?

☐ Yes ☐ No

If yes, on a separate attachment, provide the following: (i) the name(s) of each such other entity or organization; (ii) a detailed description of the circumstances upon which charges were based; (iii) the public agency involved, including name, address, telephone and email address of contact person(s) at such public agency; and (iv) disposition of such charges.

- 4.9 Has any individual or entity who owns ten percent (10%) or more of the equity interest of your organization been charged with a violation of the California False Claims Act or similar federal statute within the past ten (10) years?

☐ Yes ☐ No

If yes, on a separate attachment, provide the following: (i) the name of such individual(s) or entity(ies); (ii) a detailed description of the circumstances upon which charges were based; (iii) the public agency involved, including name, address, telephone and email address of contact person(s) at such public agency; and (iv) disposition of such charges.

**5. References** (Include name, contact person, telephone/fax, email and address for each reference provided. Attach a separate sheet, if necessary):

- 5.1 Trade References (three (3) minimum)

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5.2 Bank References

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5.3 Public Works Inspectors of Record (K-12 or Community College project)

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5.4 Owner references - three (3) minimum (preferably California K-12 School District and/or California Community College District)

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**6. Accuracy and Authority**

The undersigned is duly authorized to execute this UPCCAA Pre-Qualification Application under penalty of perjury on behalf of the Bidder. The undersigned warrants and represents that he/she has personal knowledge of each of the responses to this UPCCAA Pre-Qualification Application and/or that he/she has conducted all necessary and appropriate inquiries to determine the truth, completeness and accuracy of responses to this UPCCAA Pre-Qualification Application.

The undersigned declares and certifies that the responses to this UPCCAA Pre-Qualification Application are complete and accurate; there are no omissions of material fact or information that render any response to be false or misleading and there are no misstatements of fact in any of the responses.

Executed this \_\_\_\_ day of \_\_\_\_\_ 2021 at \_\_\_\_\_  
(City and State)

I declare under penalty of perjury under California law that the foregoing is true and correct.

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Typed or written name)