

**ARVIN UNION SCHOOL DISTRICT
PREQUALIFICATION QUESTIONNAIRE
FOR**

**GENERAL CONTRACTOR
AND
MECHANICAL, ELECTRICAL, PLUMBING, FIRE PROTECTION AND
UNDERGROUND PIPELINE SUBCONTRACTOR LICENSEES
(License Classifications A, B, C-4, C-7, C-10, C-16, C-20, C-34, C-36,
C-38, C-42, C-43 and C-46)**

**FOR PROJECTS ELIGIBLE FOR STATE FUNDING
PURSUANT TO PUBLIC CONTRACT CODE SECTION 20111.6**

ARVIN UNION SCHOOL DISTRICT PREQUALIFICATION QUESTIONNAIRE

INTRODUCTION

REQUEST FOR PREQUALIFICATION OF BIDDERS

Each contractor wishing to bid as a general contractor or a mechanical, electrical or plumbing subcontractor for certain projects at Arvin Union School District must fully complete this questionnaire and provide all materials requested herein. A contractor's prequalification status will remain current for 12 months from the notice of qualification. A contractor may choose to bid any or all of the projects for which it is prequalified.

Answers to questions contained in the attached Contractor's Prequalification Questionnaire are required, including a complete statement of prospective bidder's financial ability and experience in performing public works. These documents will be the basis of rating bidders in respect to the size and scope of contracts upon which each bidder is qualified to bid.

In addition to disqualification for failure to meet the District's criteria, a Contractor may be automatically disqualified for any one of the following: (1) omission of requested information; (2) falsification of information; (3) excessive stop notices and/or prevailing wage violations; (4) debarment from the Division of Labor Standards Enforcement.

The questionnaire responses and financial statements are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. The District reserves the right to reject any and all Prequalification Questionnaires and to waive any irregularities in the information contained therein.

Each questionnaire must be signed under penalty of perjury by an individual who has the legal authority to bind the contractor on whose behalf that person is signing. If any information provided by a contractor becomes inaccurate, the contractor must immediately notify the awarding body and provide updated accurate information in writing and under penalty of perjury.

The District reserves the right to:

- Request that Contractor(s) update prequalification forms;
- Certify a Contractor only up to a specific contract size or dollar amount based on the size of Contractor's previous projects;
- Revoke, rescind, and/or reuse the prequalification status of a Contractor;
- Use some or all of the information provided in this form for evaluation purposes;
- Check other sources.

SUBMISSION OF COMPLETED STATEMENTS

Mail completed Prequalification Questionnaires and supporting documents to:

Arvin Union School District
Attention: Chris Davis, CBO
Facilities and Planning Department
737 Bear Mountain Blvd.
Arvin, CA 93203

Or e-mail to: chdavis@arvin-do.com

**PLEASE MARK ENVELOPE
"CONFIDENTIAL"**

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CONTACT INFORMATION:

Firm Name:

(As it appears on License)

Check one:

- Corporation
- Partnership
- Sole Prop.
- LLC

Contact Person:

Position:

(e.g., owner, partner, sole proprietor, shareholder, managing member)

Address:

Phone:

Fax:

Owner(s) of Company:

Contractor's License Number(s):

DIR Registration No.

Requesting Prequalification as:

- General Contractor
- MEP Subcontractor
- Both

SECTION 1. THRESHOLD QUESTIONS

Applicant will be immediately disqualified if the answer to any of the questions below is "Yes." Refusal to answer or omission of a response to any question on this form will result in disqualification of Applicant.

1. Is your firm's license currently **SUSPENDED** or **INACTIVE** as recorded by the California Contractor's State License Board (CSLB)?
 Yes No

2. Is your firm's bonding capacity **LESS THAN** the value of the contract that your firm intends to bid on?
 Yes No

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3. Has your firm completed FEWER THAN five (5) public works construction projects within the last five (5) years?

Yes No

4. Has your firm completed FEWER THAN two (2) school (K-12, community college or higher education) construction projects within the last five (5) years, with single contract values greater than:

General Contractor - \$500,000

Yes No

MEP Subcontractor - \$125,000

Yes No

5. Is your firm currently INELIGIBLE to bid on public works projects in accordance with Section 1777.1 of the California Labor Code?

Yes No

6. Has your firm's Worker's Compensation Experience Modification Rate, as averaged over the past three (3) years, EXCEEDED 1.00?

Yes No

7. In the last five (5) years, has your firm had MORE THAN five (5) serious violations* as defined by Cal-OSHA?

Yes No

8. In the last five (5) years, has your firm had MORE THAN two (2) repeat violations* as defined by Cal-OSHA?

Yes No

9. In the last five (5) years, has your firm had ANY willful violations of any occupational safety or health standard, order, or Section 25910 of the California Health and Safety Code?

Yes No

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10. An Injury and Illness Prevention Program (IIPP) in accordance with California Labor Code Sections 3201 or 6401.7 is required for firms seeking to prequalify. Has your firm FAILED to implement an IIPP?

Yes No

*Violation definitions/classifications can be found at the following website:

<http://www.dir.ca.gov/DOSH/>

11. In the last five (5) years, has your firm, or any key Person in your firm (RMO, RME, Principal, Owner, or Project Manager), had any license revoked by the California Contractor's State License Board (CSLB)?

Yes No

12. Worker's Compensation Insurance (as required by the California Labor Code) or adequate Self Insurance (in accordance with California Labor Code 3700 et seq.) is required for firms seeking to prequalify. Does your firm currently FAIL to meet these requirements?

Yes No

13. In the last five (5) years, has your firm, or any key Person in your firm, been convicted of a crime involving the awarding of a contract on a government (local, state or federal) construction project, or the bidding or performance of a government contract?

Yes No

14. In the last five (5) years, has your firm, or any key Person in your firm, been "defaulted" or "terminated" by an owner (other than for convenience of the project owner) or has your surety completed a contract for your firm?

Yes No

15. Has your firm, or any key Person in your firm, ever been found guilty in a criminal action, for making any false claim or material misrepresentation to any public agency or entity?

Yes No

16. In the last ten (10) years, has your firm, or any key Person in your firm, ever been convicted of a crime involving any federal, state or local contracts?

Yes No

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17. In the last five (5) years, has your firm been involved in more than one (1) construction-related litigation with any school district in which you were not the prevailing party; filed more than one (1) claim against any school district that did not result in a recovery; or had more than one (1) substantiated (in whole or in part) claim filed against it by any school district resulting in an award in excess of \$ 50,000?
- Yes No
18. In the last five (5) years, has your firm been assessed damages (liquidated or actual) by any owner on any public works project?
- Yes No
19. According to your firms most recent financial review or audit (must be dated within the past 12 months), is your firm's Asset to Liability Ratio LESS THAN 1:1?
- Yes No
20. In the last five (5) years, has your firm declared or filed for bankruptcy?
- Yes No

If the answer to ALL of the above questions is NO, please proceed with completion of this Questionnaire.

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SECTION 2. RATING QUESTIONS

Highest Possible Rate = 100 Points. A score less than 75 points will disqualify you from this prequalification process. "You" or "Your" refer to the Applicant listed in Section 1.

Question	Response	Points (For office use Only)
<p>1. How many years has your organization been in business in California as a contractor under your present business name and license number?</p> <p>(5 yrs. or less = 0 pts., 6-15 yrs. = 3 pts., >15 = 6 pts.)</p>	Years	____ Pts.
<p>2. How many years' experience does your RMO/RME have as a licensed contractor?</p> <p>(5 yrs. or less = 0 pts., 6-10 yrs. = 3 pts., >10 = 6 pts.)</p>	Years	____ Pts.
<p>3. Has your firm or the RMO/RME ever had their contractor's licenses suspended, or put on probation? (Check One)</p> <p>(Probation = 3 pts., Suspended = 2 pts., never suspended or on probation = 6 pts.)</p>	<input type="checkbox"/> Never Suspended or on Probation <input type="checkbox"/> Suspended <input type="checkbox"/> Probation	____ Pts.
<p>4. How many years has your firm performed construction work for public agencies under the California Division of State Architect (DSA) rules and regulations?</p> <p>(5 yrs. or less = 1 pt., 6-15 yrs. = 3 pts., >15 = 6 pts.)</p>	Years	____ Pts.
<p>5. How many times in the last ten (10) years has your company been declared a "Non-responsible" bidder on public works contracts?</p> <p>(≥ 2 = 0 pts., 1 = 2 pts., 0 = 5 pts.)</p>	Notices	____ Pts.

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Question	Response	Points (For office use Only)
<p>6. Within the last five (5) years has your company requested to be released from a bid on public works contract?</p> <p>(≥ 2 = 0 pts., 1 = 2 pts., 0 = 5 pts.)</p>	Requests	____ Pts.
<p>7. Within the last five (5) years, how many times has your company filed two (2) or more Requests for Substitution of Listed Subcontractors that were denied?</p> <p>(≥ 2 = 0 pts., 1 = 2 pts., 0 = 5 pts.)</p>	Requests	____ Pts.
<p>8. Within the last five (5) years, what percentage of your public contracts have resulted in lawsuits brought by suppliers, subcontractors, prime contractors, or owners against your firm?</p> <p>Example: If your firm has engaged in 100 public contracts in the past five (5) years, and has had seven (7) lawsuits brought by any of the above-mentioned parties, the proper response would be 7/100 or .07.</p> <p>(>0.10 = 0 pts., .01-.09 = 3 pts., Less than .01 = 10 pts.)</p>	Ratio	____ Pts.
<p>9. Within the last ten (10) years, how many times has your company been awarded a public works contract in which you “failed to execute” a contract? Note: “Failure to Execute” is any of the following: (1) Refusal to pick up, sign, and/or return contract documents; (2) Inability to obtain insurance and/or bond requirements.</p> <p>(≥ 2 = 0 pts., 1 = 3 pts., 0 = 7 pts.)</p>	Times	____ Pts.
<p>10. Within the last five (5) years, how many legal proceedings (including arbitration, mediation, or other dispute resolution proceedings) have you initiated against an owner, regardless of outcome?</p> <p>(>3 = 0 pts., 1-3 = 3 pts., 0 = 6 pts.)</p>	Proceedings	____ Pts.
<p>11. Within the last five (5) years, how many legal proceedings (including arbitration, mediation, or other dispute resolution proceedings) has an owner initiated against you, regardless of outcome?</p> <p>(>3 = 0 pts., 1-3 = 3 pts., 0 = 6 pts.)</p>	Proceedings	____ Pts.
<p>12. Has an owner ever made a demand on your performance bond?</p> <p>(Yes = 0 pts., No = 10 pts.)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	____ Pts.

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Question	Response	Points (For office use Only)
<p>13. Has your firm ever had insurance terminated by a carrier in the past five (5) years due to an excessive claims history and/or nonpayment of premium?</p> <p>(Yes = 0 pts., No = 10 pts.)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	_____ Pts.
<p>14. Within the past five (5) years, have any of your employees or another entity (including an Owner) filed a complaint against your firm with the California State License Board? If yes, how many complaints were filed?</p> <p>(>3 = 0 pts., 3 = 2 pts., 2 = 3 pts., 1 = 4 pts., No = 6 pts.)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No Complaints	_____ Pts.
<p>15. Within the past five (5) years, have there been any findings against your firm based on complaints by any of your employees or subcontractor employees filed with the DIR, Division of Labor Standards Enforcement? If yes, how many findings?</p> <p>(>3 = 0 pts., 3 = 2 pts., 2 = 3 pts., 1 = 4 pts., No = 6 pts.)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No Findings	_____ Pts.

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SECTION 3. PERFORMANCE

1. List the two (2) largest school public works contracts completed in the State of California in the past five (5) years and provide the requested information for each project listed:

	Owner	Contact & Phone No.	Project Name	Contract \$	Year Completed
Project A					
Project B					
				Project A	Project B
Original contract value:					
Change orders – total value:					
Owner-initiated change orders - % of total:					
Change orders due to differing site conditions - % of total:					
Other change orders - % of total:					
Final contract value:					
Original contract duration – calendar days:					
Final contract duration – calendar days:					
Original contract completion date:					
Actual contract completion date:					
Time extensions voluntarily resolved with owner – calendar days:					
Time extensions involuntarily resolved by mediation, arbitration or litigation – calendar days:					

2. List the next three (3) largest school public works contracts completed in the State of California in the past five (5) years:

Owner	Contact & Phone #	Project Name	Contract \$	Year Completed

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3. List all projects completed for school districts, including community college districts, in the last five (5) years not listed in #2 or #3 above: (Attach separate sheet(s) as needed.)

Owner	Contact & Phone # Inspector & Phone #	Job Description	Contract \$	Year Completed

4. List two (2) current Trade Suppliers and three (3) current Trade Subcontractors that you principally work with:

Company	Material or Service Provided	Contact	Phone #

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Reference Interview Questions

At the discretion of the district, the following questions will be used to interview randomly selected contacts from previously completed projects. *No action on your part is necessary.* These questions are for your information only. Highest Possible Rating for these questions is 140 Points per Project. A score less than 100 points from any reference disqualifies you from bidding projects proposed by the district.

Questions

1. Are there any outstanding stop notices or liens currently unresolved on contracts that have had notices of completion recorded? (Max. 10 pts.)
2. Did the contractor provide adequate personnel? (Max. 10 pts.)
3. Did the contractor provide adequate supervision? (Max. 10 pts.)
4. Was there adequate equipment provided on the job? (Max. 10 pts.)
5. Was the contractor timely in providing reports and other paperwork, including change order paperwork? (Max. 10 pts.)
6. Was the contractor timely in completing the project? (Max. 10 pts.)
7. Were there excessive change orders on the job that can be faulted to the contractor or subcontractors? (Max. 10 pts.)
8. When a change order was issued, did the contractor perform the work well, and did it integrate into the existing work easily? (Max. 10 pts.)
9. How has the contractor been performing in the area of taking care of warranty items? (Max. 10 pts.)
10. Did you have difficulty with claims? (Max. 10 pts.)
11. How would you rate the contractor's overall performance? (Max. 10 pts.)
12. Would you want to work with them again? (Max. 10 pts.)
13. Describe any significant safety issues on the Project. (Max. 10 pts.)
14. Subcontractor/supplier question: Does this contractor pay their bills on time? (Max. 10 pts.)

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SECTION 4. SURETY AND INSURANCE INFORMATION

1. Is your current bonding company "California admitted?"
 Yes No

2. Has your company ever been unable to obtain a bond or been denied a bond for a contract?
 Yes No

3. What is your bonding capacity?

Single Job: \$ Total work in progress: \$

Please provide a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states: (a) your current total bonding capacity (b) your current available single job bonding capacity?

<i>Name of present surety(ies) (List Company(ies) that issued the payment/performance bond, not agent or broker)</i>			
	Company	Address	Largest Bond Value
1.			
2.			

4. Do you currently have a liability insurance policy with a policy limit of AT LEAST \$1,000,000 per occurrence and \$2,000,000 aggregate?
 Yes No

If no, what policy limits do you maintain? \$ Occurrence \$ Aggregate

<u>Please provide Certificates of Insurance for General Liability and Workers Compensation as verification</u>			
AMOUNT OF INSURANCE	\$	Insurance Company Information	
General Liability	\$	Name	
Builder's Risk	\$	Address	
Additional Insured	\$	Phone Number	
Workers' Compensation	\$	Contact	
Years with Insurance Co.		Expiration Date	
<i>Note: Please list all insurance companies for the past five (5) years on a separate page including phone numbers and contact name.</i>			

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SECTION 5. FINANCIAL INFORMATION

Reviewed or audited statements are required. A compilation is not acceptable.

Financial Capacity:

Please fill in the following blanks based on your attached financial statement:

Current Assets:	\$
Current Liabilities:	\$
Total Net Worth:	\$
Current Ratio (Assets/Liabilities):	
Working Capital (Current Assets - Current Liabilities):	\$

*Contractor MUST have a working capital (current assets to current liabilities) ratio of at least 1:1 in order to qualify.

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ACCOUNTANT'S RELEASE LETTER

By signing the form below, I authorize this prequalifying agency to contact our company's licensed accounting firm to verify our most recent audited or reviewed financial statement. I understand the financial statement is confidential information and is not open to public inspection.

Name

Contractor's Signature

Title

Company Name

Date:

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SECTION 6. LABOR COMPLIANCE AND WORKERS' COMPENSATION INFORMATION

Labor Compliance

1. Do any projects you have completed for any school district more than six (6) months ago have any outstanding Labor Compliance issues?
 Yes No

2. Has there been any occasion during the last five (5) years in which your firm was required to pay either back wages or penalties for your own firm's violation of prevailing wage laws?
 Yes No

3. At any time during the last five (5) years has your firm been found to have violated any provision of California Apprenticeship laws or regulations pertaining to apprentices on public works?
 Yes No

If yes to 1, 2 or 3, list all projects on which have outstanding Labor Compliance issues, on which you paid back wages or penalties, or on which you were found to have violated apprenticeship laws.			
Question #	Project Name	Completion Date	Dollar Amount Withheld
If any projects are listed, please attach a detailed explanation of the steps taken to date to clear the issues. Include results of prevailing wage audit(s).			

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Workers' Compensation

1. Please obtain from your insurance agent/broker/carrier your intrastate EMRs for the last three rating periods. If you do not have an intrastate rating, obtain your interstate EMRs. Then, complete the following data and check the appropriate box for interstate or intrastate EMR.			
	Policy Year	Modification Rate	Experience Rating Type <input type="checkbox"/> Intrastate <input type="checkbox"/> Interstate
Current EMR			
1 Year Ago			
2 Years Ago			
3 Years Ago			
<p>By initialing here, I certify that this firm does not have an EMR.* _____</p> <p><i>*You must submit a copy of your firm's Loss Runs for the last three years if your firm does not have an EMR.</i></p> <p>Is your firm self-insured for Workers' Compensation Claims? <input type="checkbox"/> Yes* <input type="checkbox"/> No</p> <p><i>* If yes, please attach a copy of the latest Annual Report to the State of California Department of Industrial Relations and/or State of California of Self-Insurance.</i></p>			
2. Anniversary Rating Date:		Rating Bureau File #:	
3. Name of your firm's Workers' Compensation carrier:			

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SECTION 7. APPEAL OF PREQUALIFICATION RATING

1. Project Specific Prequalification

Where a timely and completed application results in a rating below that necessary to pre-qualify, an appeal can be made. An appeal is begun by the Contractor delivering notice to district of its appeal of the decision with respect to its pre-qualification rating, no later than seven (7) business days prior to the closing time for the receipt of bids for this public works project. Without a timely appeal, the Contractor waives any and all rights to challenge the decision of district, whether by administrative process, judicial process or any other legal process or proceeding.

If the Contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than five (5) business days prior to the last date for the receipt of bids on the project. The hearing shall be an informal process conducted by a panel or individual to whom the district has delegated responsibility to hear such appeals. At or prior to the hearing, the Contractor will be advised of the basis for district's pre-qualification determination. The Contractor will be given the opportunity to present information and present reasons in opposition to the rating. Within one day after the conclusion of the hearing, the district will render its decision. It is the intention of district that the date for the submission and opening of bids will not be delayed or postponed to allow for completion of an appeal process.

2. Annual Prequalification

A contractor who has submitted a completed application form, and who receives a rating of "not qualified" from district may appeal that determination. There is no appeal from a finding that a contractor is not pre-qualified because of a failure to submit required information, but re-application during is permitted. A contractor may appeal district's decision with respect to its request for pre-qualification, and request a hearing, by giving notice to district no later than ten (10) business days after receipt of notice of its qualification status. Unless a Contractor files a timely appeal, the Contractor waives any and all rights to challenge the qualification decision of district, whether by administrative process, judicial process or any other legal process or proceeding.

If the Contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than ten (10) business days after district's receipt of its Notice of Appeal. The hearing so provided shall be an informal process conducted by an individual or panel to whom the district has delegated responsibility to hear such appeals. At or prior to the hearing, the Contractor will be advised of the basis for district's pre-qualification determination. The Contractor will be given the opportunity to present information and present reasons in opposition to the pre-qualification determination. At the conclusion of the hearing or no later than one (1) day after completion of the hearing, the district will render its decision. The date for submission and opening of bids for a specific project will not be delayed or postponed to allow for completion of an appeal process.

Note: A contractor may be found not pre-qualified for bidding on a specific public works contract to be let by district, or on all contracts to be let by district until the contractor meets district's requirements. In addition, a contractor may be found not pre-qualified for either:

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- (1) Omission of requested information or
- (2) Falsification of information

District reserves the right to waive minor irregularities and omissions in the information contained in the prequalification application submitted, to make all final determinations.

SECTION 8. PREQUALIFICATION CERTIFICATION FORM

A copy of this certification must be completed and signed by the preparer and by at least one general partner, owner, principal or officer authorized to legally commit the Applicant, and submitted with the Application.

The Applicant recognizes that the information submitted in the questionnaire herein is for the express purpose of inducing the district to receive and consider Applicant's bid. The Applicant has read and understands the requirements of this Prequalification Application and process, and has read and understands the instructions for completing this form. The Applicant acknowledges that he/she is duly authorized to provide the information contained in this Application and that answering the questions in this Application is entirely within his/her control.

DECLARATION

I, _____ (*printed name*) , am the _____ (*title*) of Applicant. I certify that I have read and understood the questions contained in the attached Application, and that to the best of my knowledge and belief all information contained herein and submitted concurrently or in supplemental documents with this Application is complete, current, and true. I further acknowledge that any false, deceptive or fraudulent statements on the Application will result in denial of Prequalification. I authorize the district to contact any entity named herein, or any other internal or outside resource, for the purpose of verifying information provided in the questionnaire or to develop other information deemed relevant by the district.

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

Signature of Preparer or Officer of the Applicant

Date: _____

Signature of Preparer or Officer of the Applicant

Date: _____

NOTICE TO APPLICANTS

A material false statement, omission or fraudulent inducement made in connection with this Prequalification Application is sufficient cause for denial of the Application or revocation of a prior approval, thereby precluding the Applicant from doing business with, or performing work for, the district, either as a vendor, prime contractor, subcontractor, or supplier for a period of three (3) years. In addition, such false submission may subject the person and/or entity making the false statement to criminal charges. (Title 18 USC 1001, false statements; California Penal Code Section 132, offering altered or antedated or forged documents or records; and Section 134, preparing false documentary evidence.)

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**SECTION 9. PREQUALIFICATION VALIDATION FORM
(Retain and Submit with Bid)**

This Validation Form must be submitted for each bid or proposal. The Validation Form must be completed and signed by at least one General Partner, Owner, Principal or Officer authorized to legally commit the Applicant. For Applicants who provide additional and/or updated information as indicated below, submission of this Validation Form in advance of the bid or proposal date is encouraged. An evaluation of the new information could result in the change in Prequalification status of the Applicant and if the Prequalification status is denied, bidder may be considered non-responsive.

Bid Name and Number:

DECLARATION

I, _____ (*printed full name*), hereby declare that I am the _____ (*position or title*) of (*Applicant*), and that I am duly authorized to execute this Validation Statement on behalf of this entity.

I acknowledge that any false, deceptive or fraudulent statements on this validation will result in denial of Prequalification. I hereby state: (*Check One*)

The Prequalification Application dated _____ on file with district is correct and current as submitted.

OR

The Prequalification Application dated _____ on file with district is correct and current as submitted, except as modified by the attached changed pages and/or attachments to said Application.

(Applicant may attach additional sheets to describe changes.) Attach recent financial statements if previous are more than one year old.

Signature of Person Certifying for Applicant

Date: _____

Name of Applicant:

Tax ID No. or SSN:

DIR Registration No.