

RESOLUTION NO. 2017-2087

**RESOLUTION OF THE DISTRICT BOARD OF THE LAS GALLINAS VALLEY
SANITARY DISTRICT PURSUANT TO PUBLIC CONTRACT CODE SECTION 20101
ADOPTING A UNIFORM SYSTEM OF RATING BIDDERS AND AN APPEAL
PROCESS FOR THE PRE-QUALIFICATION OF PROSPECTIVE BIDDERS FOR THE
SECONDARY TREATMENT AND RECYCLED WATER PLANT UPGRADE PROJECT**

WHEREAS, the District is subject to competitive bidding requirements for all projects valued at or in excess of \$15,000.

WHEREAS, section 20101 of the California Public Contracts Code authorizes the District to engage in a process of pre-qualifying prospective bidders for public works construction projects.

WHEREAS, Section 20101 of the California Public Contracts Code requires that any agency requiring prospective bidders to complete and submit questionnaires and financial statements as part of a pre-qualification process must also adopt and, apply a uniform system based on objective criteria for rating bidders on the basis of the completed questionnaires and financial statements, in order to determine both the minimum requirements permitted for qualification to bid, and the type and size of the contracts upon which each bidder shall be deemed qualified to bid.

WHEREAS, Section 20101 of the California Public Contracts Code further requires that any agency employing procedures for pre-qualification of prospective bidders also establish a process that will allow prospective bidders to dispute their proposed pre-qualification rating prior to the closing time for receipt of bids.

WHEREAS, Section 20101 allows a public agency to establish a pre-qualification procedure linked to a single project.

WHEREAS, the District had embarked on a project to upgrade the existing wastewater treatment and recycled water facilities, a specialty public works project demanding the skills, knowledge and financial soundness of a public works contractor experienced in constructing similar projects.

WHEREAS, the District Board desires to adopt a uniform rating system and appeals process in order to use the pre-qualification process authorized by Section 20101 of the California Public Contracts Code for the Secondary Treatment and Recycled Water Plant Upgrade project.

RESOLVED, by the District Board of the Las Gallinas Valley Sanitary District, Marin County, California that:

1. The District hereby approves and adopts the uniform system based on

objective criteria for rating bidders on the basis of the completed questionnaires and financial statements, attached hereto, and by this reference, incorporated herein as Exhibit "A" to this resolution.

2. The District hereby approves and adopts the process to allow prospective bidders to dispute their proposed pre-qualification rating prior to the closing time for receipt of bids, attached hereto, and by this reference, incorporated herein in Exhibit "A" to this resolution.

* * * * *

I hereby certify that the forgoing is a full, true and correct copy of a resolution duly and regularly passed and adopted by the District Board of the Las Gallinas Valley Sanitary District, Marin County, California, at a regular meeting thereof held on March 23, 2017, by the following vote of the members thereof:

AYES, and in favor thereof Members: *Clark, Elias, Greenfield, Murray*
NOES, Members: *None*
ABSENT, Members: *Schreibman*
ABSTAIN, Members: *None.*

ATTEST

Teresa Lerch
Teresa Lerch, District Secretary

APPROVED:

Russ Greenfield
Russ Greenfield, President of Board of Directors



Exhibit "A"

**GENERAL CONTRACTOR AND ELECTRICAL SUBCONTRACTOR'S
PRE-QUALIFICATION SUBMITTAL PACKAGE FOR
SECONDARY TREATMENT AND
RECYCLED WATER PLANT UPGRADE**



**GENERAL CONTRACTOR AND ELECTRICAL SUBCONTRACTOR'S
PRE-QUALIFICATION SUBMITTAL PACKAGE FOR**

**SECONDARY TREATMENT AND
RECYCLED WATER PLANT UPGRADE
JOB NO. 12600-07**

MARCH 2017

DISTRICT BOARD

**RUSSELL GREENFIELD – PRESIDENT
MEGAN CLARK – VICE PRESIDENT
RABI ELIAS
CRAIG K. MURRAY
JUDY SCHRIEBMAN**

**MARK R. WILLIAMS – GENERAL MANAGER
MICHAEL P. CORTEZ, PE – DISTRICT ENGINEER
MEL LIEBMANN – PLANT MANAGER
SUSAN MCGUIRE, CPA – ADMINISTRATIVE SERVICES MANAGER
GREG PEASE – COLLECTION SYSTEM/SAFETY MANAGER**

Prepared by:

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W.O. 15-0154

TABLE OF CONTENTS

| | <u>Page Number</u> |
|--|------------------------|
| REQUEST FOR STATEMENT OF QUALIFICATIONS..... | 1 |
| PRE-QUALIFICATION PROCEDURE..... | 3 |
| <u>PART A --- GENERAL CONTRACTOR</u> | |
| GENERAL CONTRACTOR’S APPLICATION TO PRE-QUALIFY TO BID | 9 |
| GENERAL CONTRACTOR’S PRE-QUALIFICATION STATEMENT..... | 10 |
| GENERAL CONTRACTOR QUESTIONNAIRE: | 11 |
| PART I. ESSENTIAL REQUIREMENTS FOR PRE-QUALIFICATION | 11 |
| PART II. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, COMPLIANCE WITH CIVIL AND CRIMINAL LAWS | 13 |
| PART III. RECENT CONSTRUCTION PROJECTS COMPLETED | 23 |
| PART IV. PROJECT APPROACH, METHODOLOGY AND STAFFING..... | 25 |
| <u>PART B --- ELECTRICAL SUBCONTRACTOR(S)*</u> | |
| SUB- CONTRACTOR’S APPLICATION TO PRE-QUALIFY TO BID | 27 |
| SUB- CONTRACTOR’S PRE-QUALIFICATION STATEMENT | 28 |
| SUB- CONTRACTOR QUESTIONNAIRE | 29 |
| PART I. ESSENTIAL REQUIREMENTS FOR PRE-QUALIFICATION | 29 |
| PART II. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, COMPLIANCE WITH CIVIL AND CRIMINALS LAWS | 31 |
| PART III. RECENT CONSTRUCTION PROJECTS COMPLETED | 41 |
| PART IV. PROJECT APPROACH, METHODOLOGY AND STAFFING..... | 43 |

APPENDIX A – LOCATION MAP

APPENDIX B – 60% COMPLETE DESIGN PLANS

APPENDIX C – SCORING INSTRUCTIONS

LAS GALLINAS VALLEY SANITARY DISTRICT

SAN RAFAEL, CALIFORNIA

REQUEST FOR STATEMENT OF QUALIFICATIONS

FOR

SECONDARY TREATMENT AND RECYCLED WATER PLANT UPGRADE

INTRODUCTION:

The Las Gallinas Valley Sanitary District (District) Wastewater Treatment Facility has experienced numerous upgrades over the past fifty plus years. The plant treats the liquid stream with a headworks, primary clarification, trickling filter treatment, secondary clarification, a fixed film reactor, sand filtration and chlorine disinfection. Additionally, the facility has a recycled water plant that treats secondary effluent and return pond water for use as recycled water.

This upgrade will add primary equalization, replace secondary treatment with a hybrid fixed-film, activated sludge process, increase secondary clarifier capacity, provide disinfection modifications, modify solids thickening, expand recycled water treatment capacity, improve the facility site, provide odor control, and include other site, mechanical, and electrical improvements as required.

A Location Map of the project site is included in **Appendix A**. **Appendix B** provides the 60% complete design plans for the Plant Expansion.

This pre-qualification submittal package is intended for general contractors and electrical subcontractor(s). General contractor shall understand that if their company is approved, it is mandatory that they utilize a pre-approved electrical subcontractor. General Contractors must have a California Class "A" license and Electrical Subcontractors must have a California "C-10" license.

The scoring instructions and the scoreable point system for each category in order for a submitting contractor to pre-qualify is included in **Appendix C**.

General contractors interested in receiving the bid packages for the Las Gallinas Valley Sanitary District (District) Secondary Treatment and Recycled Water Plant Upgrade project must be pre-qualified by the District. Consequently, interested general contractors are requested to submit a Statement of Qualifications for evaluation. Only those general contractors and electrical sub-contractors who are pre-qualified in accordance with the requirements contained herein will be eligible to receive the Invitation for Bid documents and submit a bid to the DISTRICT for this project.

The proposed work is tentatively scheduled to bid in June 2017 with construction commencing in September 2017. The project construction schedule is anticipated to be 1,000 calendar days. The estimated construction cost for the project is \$42,000,000.

CONTACT PERSON/ADDRESS:

Contractors having any questions or Requests for Information regarding the bid package/process, may direct them, in writing, to the contact person below no later than **2:30 pm (PST) on April 28, 2017.**

**Justin Logan, P.E.
AQUA Engineering
533 West 2600 South #275
Bountiful, UT 84010
Phone: 801-299-1327
E-mail: justinl@aquaeng.com**

Please copy the following on all questions or Requests for Information:

**Michael P. Cortez, P. E.
Las Gallinas Valley Sanitary District
300 Smith Ranch Road
San Rafael, CA 94903
Phone: 415-472-1735
E-mail: mcortez@lgvsd.org**

SITE VISIT:

A job site visit will be conducted by the District for the interested contractors on **April 14, 2017** and will begin at **10:00 am (PST)** at the project site (see Appendix A for location map).

DEADLINE FOR SUBMITTALS:

Submit one (1) electronic copy on CD of Statement of Qualifications to the address below prior to **2:30pm (PST) on May 12, 2017.** The electronic file shall be a searchable PDF document.

**Michael P. Cortez, P.E.
Las Gallinas Valley Sanitary District
300 Smith Ranch Road
San Rafael, CA 94903**

Dated: March 23, 2017

s/ **Mark R. Williams**
General Manager

PRE-QUALIFICATION PROCEDURE

A. PURPOSE:

1. The purpose of the Pre-qualification Procedure is to provide DISTRICT with a mechanism to evaluate and determine which general contractors are qualified to participate in this project and provide a plant expansion contract bid proposal directly to the DISTRICT.
2. General contractors are required to comply with the Pre-qualification Procedure.
3. Only those general contractors and electrical subcontractor(s), who have duly complied with the Pre-qualification Procedure and have been determined to be qualified, will be eligible to receive and submit a bid on the project at a later date.

B. SUBMITTALS:

1. Contractors wishing to Pre-qualify to Bid shall submit the following:
 - a. General contractor's or Electrical Subcontractor's Application to Pre-qualify to Bid.
 - b. General contractor's or Electrical Subcontractor's Pre-qualification Statement.
 - c. General contractor or Electrical Subcontractor's Questionnaire.
 - d. Attachments as necessary to provide supporting information required by the general contractor's or electrical subcontractor's Qualification Statement and/or Questionnaire.
 - f. ***On a separate sheet(s)***, provide a complete listing of all projects of a similar nature to the proposed project together with a statement regarding total number of years of experience your company has had with similar projects. Be detailed in your project description. ***See scoring instructions Section III (page SI-12)***
 - g. ***On a separate sheet(s)***, provide your plan, methodology and sequencing for performing the proposed work (be as specific as possible). Include and Address: Approach to construction items of proposed work, including work to be provided by a sub-contractor. ***Note: The Plant Facility must remain in service throughout the duration of the construction. See scoring instructions Section IV (Page SI-15) for additional requirements.***
 - h. ***On a separate sheet(s)***, provide a list of all current employees and their job classification for those employees which would have involvement on the proposed project; and provide an organizational chart and identify the key personnel that are anticipated to comprise the management team of this project. Provide resumes for key personnel along with their experience.
 - i. ***On a separate sheet(s)***, provide a list of all equipment owned by the contractor and available for use on this project.

- j. *On a separate sheet(s)*, provide a list of all Responsible Managing employees (RME) or Responsible Managing Officer (RMO).
2. One (1) electronic copy of the Application and all supporting data shall be submitted.
3. Pre-qualification Statement and the Application shall be signed by an officer of the firm.
4. Applications shall be submitted prior to the Deadline for Submittals as described above.
5. Applications that are incomplete or illegible, for any reason, may be rejected at the discretion of the DISTRICT. Determination of the completeness of the applications will be at the sole discretion of the DISTRICT.
6. DISTRICT reserves the right to waive any informality and/or request additional information from the general contractor, at its discretion.
7. By submitting an Application, the general contractor agrees that the DISTRICT shall be free to make inquiry(ies) it deems necessary to ascertain the qualification(s) of the general contractor and/or the accuracy of statements made by the general contractor as to its qualification(s).

C. ADDENDA

1. Any clarifications, alterations, or changes made shall not be valid unless included in an Addendum issued by the DISTRICT.
2. Addenda will be mailed or delivered to those general contractors who have received the Pre-qualify to Bid Package from the DISTRICT.
3. Each general contractor shall ascertain from the DISTRICT prior to submitting their Application that they have received all Addenda issued and they shall acknowledge their receipt in the Application.
4. The deadline for submittal questions and requests for clarification to the DISTRICT is **2:30 pm (PST) on April 28, 2017.**

D. EVALUATION

1. The objective of the evaluation is to determine which general contractors, in the opinion of the DISTRICT, are qualified to perform the work required for the Project. General contractors are cautioned that this is a subjective process and that they retain sole responsibility for adequately demonstrating their own abilities, so that they are perceived to be qualified.

2. The information contained in the Application will be evaluated by the DISTRICT. Information concerning the Pre-qualification Procedure for the Project should be directed to DISTRICT.
3. Perception of the general contractor's or electrical subcontractor's qualification to perform will be based on the evaluation of the general contractor's:
 - a. Financial capabilities
 - b. Resources
 1. Equipment.
 2. Key staff/Personnel experience.
 - Field Superintendent.
 - Office Project Manager.
 - c. Past Performance
 1. Past experience with the DISTRICT.
 2. Past experience with other similar Agencies.
 3. Timely completion of past projects.
 4. Past performance constructing wastewater treatment projects while maintaining continuous operation.
 - d. Plan, methodology and sequencing for performing work on this project; considering the facility must remain in service for the entire duration of construction.
 - e. Other Information
 1. Available from the Application.
 2. Available from research and verification of the information.
 3. Available from sources outside the scope of the Application.
 4. Current workload.
 5. Statement of experience (10 years minimum).
4. Additional information or clarification may be requested after the Application has been submitted. Such requests shall be responded to by general contractors or electrical subcontractor's within (3) calendar days after receipt of such requests.
5. It is intended that the information contained in the Application will be researched and verified.
6. Information found to be materially incorrect or misleading will be sufficient cause not to Pre-qualify the general contractor or electrical subcontractor's.
7. Reasons for not pre-qualifying a general contractor or electrical subcontractor may include, but not be limited to, the following:

- a. The general contractor or electrical subcontractor does not have the demonstrated experience to perform the contract.
- b. The general contractor or electrical subcontractor (or any officer, director, or owner thereof) has had judgments entered against him/her within the past ten years for breach of contract.
- c. The general contractor or electrical subcontractor has been in substantial non-compliance with the terms and conditions of prior (or comparable) contracts without good cause.
- d. The general contractor or electrical subcontractor (or any officer, director, owner, project manager, or chief financial officer thereof) has been convicted within the last ten years of a crime related to construction or contracting.
- e. The general contractor or electrical subcontractor (or any officer, director, or owner thereof) is currently debarred pursuant to an established debarment procedure from bidding or contracting by any public body, agency of another state, or agency of the Federal government.
- f. The general contractor or electrical subcontractor (or electrical subcontractor) fails to achieve the required points in the scoreable sections of the evaluation.
- g. The general contractor or electrical subcontractor fails to provide, in a timely manner, any information requested by DISTRICT relevant to 7a. through 7f. (above).

E. NOTIFICATION OF ELIGIBILITY FOR BIDDING

1. All general contractors or electrical subcontractor submitting an Application will be notified of DISTRICT's determination, normally within thirty (30) days from the Deadline for Submittals.
2. In the event that a general contractor or electrical subcontractor is denied pre-qualification, a written notification shall state the reasons for such denial of pre-qualification and the factual basis of such reasons.
3. Determinations by DISTRICT will be final and conclusive.
4. A list of general contractors and electrical subcontractors determined to be Pre-qualified to Bid will be made available in the Bid Documents.

F. SELECTION OF PRE-QUALIFIED GENERAL CONTRACTORS AND ELECTRICAL SUBCONTRACTORS

1. Selection for General Contractor eligibility to provide bid proposals to DISTRICT shall only be made from packages submitted by pre-qualified, responsive and responsible entities who sufficiently meet the terms, conditions and specifications contained in the submittal package.
2. Selection for Electrical Subcontractor eligibility to provide bid proposals to pre-qualified General Contractors shall only be made from packages submitted by pre-qualified, responsive and responsible entities who sufficiently meet the terms, conditions and specifications contained in the submittal package.
3. DISTRICT reserves the right to conduct interviews if deemed necessary. However, under all circumstances and all statements to the contrary notwithstanding, DISTRICT reserves as its right, the right to determine the qualified general contractor(s) in accordance with the best interest of the DISTRICT.

G. APPEAL PROCEDURE

In conjunction with this pre-qualification procedure, DISTRICT has also established a Contractor Pre-Qualification Appeals Panel (“Appeal Panel”) consisting of the following, or their designees (s):

Mark Williams – General Manager
Michael Cortez, P.E. – District Engineer
Mel Liebmann – Plant Manager
Justin Logan, P.E. – Aqua Engineering
Brian Knoll, P.E. - Albert A. Webb Associates

The sole issue before the Appeals Panel, in any appeal requested by a non-prequalified contractor, shall be the scoring of the contractor. The decision of the Appeals Panel shall be DISTRICT’s final administrative decision.

- (a) Where a complete and timely submitted application results in a rating below the 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 five (5) business days after the date of DISTRICT’s notice of the negative pre-qualification determination. Without a timely appeal, the contractor waives any and all rights to challenge the decision of the DISTRICT, whether by administrative process, judicial process or any other legal process or proceeding.
- (b) 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 after DISTRICT’s receipt of the notice of appeal, and 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 the Appeals

Panel to whom DISTRICT's governing board 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 in writing. 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 Appeals Panel will render its decision. It is the intention of the 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.

Note: A contractor may receive a negative pre-qualification determination for the project if the contractor fails to meet DISTRICT's minimum requirements. In addition, a contractor may be found not pre-qualified for either: (1) Omission of requested information; or (2) Falsification of information.

END OF PRE-QUALIFICATION PROCEDURE

PART A — GENERAL CONTRACTOR

GENERAL CONTRACTOR'S APPLICATION TO PRE-QUALIFY TO BID

LAS GALLINAS VALLEY SANITARY DISTRICT

RE: Secondary Treatment and Recycled Water Plant Upgrade - Application to Pre-qualify to Bid as General Contractor and Electrical Subcontractor

Gentlemen:

The undersigned general contractor or electrical subcontractor, being familiar with the project descriptions outlined herein, hereby submits to be pre-qualified to Bid the Plant Expansion Project in accordance with the Pre-qualify to Bid Package.

The undersigned further certifies that he can meet the stated requirements for the Project. The following is an enumeration of the documents and information comprising this Application:

1. This Application.
2. The general contractor's or electrical subcontractor's signed Pre-qualification Statement and Questionnaire.
3. Attachments as necessary to provide the supporting information required by the General Contractor's or Electrical Subcontractor's Pre-qualification Statement and Questionnaire.

Sincerely,

Printed Name

Signature

Title

Date

END OF GENERAL CONTRACTOR'S APPLICATION TO PRE-QUALIFY TO BID

GENERAL CONTRACTOR'S PRE-QUALIFICATION STATEMENT

CONTACT INFORMATION:

Firm Name: _____ Check One: Corporation
(as it appears on license) Partnership
 Sole Prop.

Contact Person: _____

Address: _____

Phone: _____ Fax: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company: _____

Contractor's License Number(s):
(Class A minimum requirement)

I, the undersigned, certify and declare that I have read all the foregoing answers to this Pre-
Qualification Questionnaire and know their contents. The matters stated in the questionnaire
answers are true of my own knowledge and belief, except as to those matters stated on
information and belief, and as to those matters I believe them to be true. I declare under penalty
of perjury under the laws of the State of California, that the foregoing is correct.

Date Name

END OF GENERAL CONTRACTOR'S PRE-QUALIFICATION STATEMENT

PRE-QUALIFICATION QUESTIONNAIRE

PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

Contractor will be immediately disqualified if the answer to any of questions 1 through 5 is “no.”¹

Contractor will be immediately disqualified if the answer to any of questions 6, 7, 8 or 9 is “yes.”² If the answer to question 8 is “yes,” and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.

1. Contractor possesses a valid and current California Contractor’s license for the project or projects for which it intends to submit a bid.
 Yes No
2. Contractor has a liability insurance policy with a policy limit of at least \$5,000,000 per occurrence and \$5,000,000 aggregate.
 Yes No
3. Contractor has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.
 Yes No Contractor is exempt from this requirement, because it has no employees
4. Have you attached your latest copy of a reviewed or audited financial statement with accompanying notes and supplemental information.^{3,4}
 Yes No

NOTE: A financial statement that is not either reviewed or audited is not acceptable. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statement.

5. Have you attached 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) that your current bonding capacity is sufficient for the project for which you seek pre-qualification if you are seeking pre-qualification for a single

¹ A “no” answer to Question 4 will not be disqualifying if the contractor is exempt from complying with Question 4, for reasons explained in footnote 3.

² A contractor disqualified solely because of a “Yes” answer given to question 6, 7, or 9 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

³ Public Contract Code section 20101(e) exempts from this requirement a contractor who has qualified as a small business pursuant to Government Code section 14837(d)(1), if the bid is “no more than 25 per cent of the qualifying amount provided in section 14837(d)(1).” As of January 1, 2001, the qualifying amount is \$10 million, and 25 per cent of that amount, therefore, is \$2.5 million.

⁴ The financial information will remain confidential, as provided by law, and will not be released, shared, copied or provided in any form unless such disclosure is required by court order or authorized in writing by the party who has provided the information.

project; or (if you are seeking pre-qualification valid for a year) (b) your current available bonding capacity?¹

Yes No

NOTE: Notarized statement must be from the surety company, not an agent or broker.

6. Has your contractor's license been revoked at any time in the last five years?
 Yes No
7. Has a surety firm completed a contract on your behalf, or paid for completion because your firm was default terminated by the project owner within the last five (5) years?
 Yes No
8. At the time of submitting this pre-qualification form, is your firm 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
If the answer is "Yes," state the beginning and ending dates of the period of debarment:

9. At any time during the last five years, has your firm, 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 An additional notarized statement from the surety may be requested by *Public Entity* at the time of submission of a bid, if this pre-qualification package is submitted more than 60 days prior to submission of the bid.

PART II. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, COMPLIANCE WITH CIVIL AND CRIMINAL LAWS

A. Current Organization and Structure of the Business

For Firms That Are Corporations:

- 1a. Date incorporated: _____
- 1b. Under the laws of what State: _____
- 1c. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten percent of the corporation's stock.

| Name | Position | Years with Co. | % Ownership | Social Security # |
|------|----------|----------------|-------------|-------------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

- 1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.
NOTE: For this question, "owner" and "partner" refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

| Person's Name | Construction Firm | Dates of Person's Participation with Firm |
|---------------|-------------------|---|
| | | |
| | | |
| | | |
| | | |

For Firms That Are Partnerships:

- 1a. Date of formation: _____
- 1b. Under the laws of what State: _____
- 1c. Provide all the following information for each partner who owns ten percent or more of the firm.

| Name | Position | Years with Co. | % Ownership | Social Security # |
|------|----------|----------------|-------------|-------------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |

- 1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.
NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

| Person’s Name | Construction Company | Dates of Person’s Participation with Company |
|---------------|----------------------|--|
| | | |
| | | |
| | | |
| | | |

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business. _____
 1b. Social security number of company owner. _____
 1c. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.
NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

| Person’s Name | Construction Company | Dates of Person’s Participation with Company |
|---------------|----------------------|--|
| | | |
| | | |
| | | |
| | | |

For Firms That Intend to Make a Bid as Part of a Joint Venture:

- 1a. Date of commencement of joint venture. _____
 1b. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects:

| Name of firm | % Ownership of Joint Venture |
|--------------|------------------------------|
| | |
| | |
| | |
| | |

B. History of the Business and Organizational Performance

2. Has there been any change in ownership of the firm at any time during the last three years?

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

Yes No

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

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction 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 on a separate signed page.

4. Are any corporate officers, partners or owners connected to any other construction firms.
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 on a separate signed page.

5. State your firm's gross revenues for each of the last three years:

2016 _____ 2015 _____ 2014 _____

6. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

7. Is your firm currently the debtor in a bankruptcy case?

Yes No

If "yes," please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

8. Was your firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above)

Yes No

If "yes," please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court's discharge order, or of any other document that ended the case, if no discharge order was issued.

C. Licenses

9. List all California construction license numbers, classifications and expiration dates of the California contractor licenses held by your firm:

10. If any of your firm's license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the CSLB records who meet(s) the experience and examination requirements for each license.
-
-

11. Has your firm changed names or license number in the past five years?

Yes No

If "yes," explain on a separate signed page, including the reason for the change.

12. Has any owner, partner or (for corporations:) officer of your firm operated a construction firm under any other name in the last five years?

Yes No

If "yes," explain on a separate signed page, including the reason for the change.

13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

Yes No

If "yes," please explain on a separate signed sheet.

D. Disputes

14. At any time in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?

Yes No

If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was 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 question 1c or 1d on this form (page 12 & 13).

Yes No

If "yes," explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.

16. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company 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.

* * * * *

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about "pass-through" disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five years has any claim against your firm concerning your firm's work on a construction project been filed in court or arbitration?
 Yes No

If "yes," on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, 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).

18. In the past five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?
 Yes No

If "yes," on separate signed sheets of paper 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).

* * * * *

19. At any time during the past five years, has any surety company made any payments on your firm's behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm's behalf, in connection with a construction project, either public or private?
 Yes No

If "yes," explain on a separate signed page the amount of each such claim, the name and telephone number of the claimant, the date of the claim, the grounds for the claim, the present status of the claim, the date of resolution of such claim if resolved, the method by which such was resolved if resolved, the nature of the resolution and the amount, if any, at which the claim was resolved.

20. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?
 Yes No
If "yes," explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

E. Criminal Matters and Related Civil Suits

21. Has your firm or any of its owners, officers or partners ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?
 Yes No
If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

22. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?
 Yes No
If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction.

23. Has your firm 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
If "yes," identify on a separate signed page the person or persons convicted, the court (the county if a state court, the district or location of the federal court), the year and the criminal conduct.

F. Bonding

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

Name of bonding company/surety: _____

Name of surety agent, address and telephone number:

25. If your firm was required to pay a premium of more than one per cent for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one per cent, if you wish to do so.

26. List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the dates during which each wrote the bonds:

27. During the last five 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, provide details on a separate signed sheet indicating the date when your firm was denied coverage and the name of the company or companies which denied coverage; and the period during which you had no surety bond in place.

G. Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety

28. Has CAL OSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five 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,” attached a separate signed page describing 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.

29. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five 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,” attach a separate signed page describing each citation.

30. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five 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," attach a separate signed page describing each citation.

31. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

32. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

Current year: _____

Previous year: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher you may, if you wish, attach a letter of explanation.

33. Within the last five years has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

Yes No

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate signed page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five years. (If your firm has been in the construction business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in the construction business.)

H. Prevailing Wage and Apprenticeship Compliance Record

34. Has there been more than one occasion during the last five years in which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the State's prevailing wage laws?

NOTE: This question refers only to your own firm'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 or pages, 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 you were required to pay.

35. During the last five years, has there been more than one occasion in which your own firm has been penalized or required to pay back wages for failure to comply with the **federal Davis-Bacon** prevailing wage requirements?

Yes No

If "yes," attach a separate signed page or pages describing the nature of the 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, the amount of back wages you were required to pay along with the amount of any penalty paid.

36. Provide the **name, address and telephone number** of the apprenticeship program (approved by the California Apprenticeship Council) from whom you intend to request the dispatch of apprentices to your company for use on any public work project for which you are awarded a contract by **DISTRICT**.

37. If your firm operates its own State-approved apprenticeship program:
- (a) Identify the craft or crafts in which your firm provided apprenticeship training in the past year.
 - (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
 - (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

38. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998, if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

Yes No

If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s).

PART III. RECENT CONSTRUCTION PROJECTS COMPLETED

39. Contractor shall provide information for review/evaluation regarding a minimum of two (2) and up to a maximum of five (5) closely related projects completed within the last ten (10) years by the organization submitting this pre-qualification package.¹ Be specific and detailed as possible for determination of similarity to the proposed work. Indicate if work involved was for existing or new wastewater treatment plant, components of work, plant capacity, facilities constructed, etc. Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information:

Project Name: _____

Location: _____

New or Operating Facility: _____

Owner: _____

Owner Contact (name and current phone number):

Architect or Engineer: _____

Architect or Engineer Contact (name and current phone number):

Construction Manager (name and current phone number):

Description of Project, Scope of Work Performed: (Give specific facilities constructed)

¹ If you wish, you may, using the same format, also provide information about additional projects that you have completed that are similar to the project(s) for which you expect to bid. Five (5) projects will be scored for the number of comparable projects; and two (2) will be scored for construction value and degree of similarity. The two (2) most similar projects will be determined by the DISTRICT.

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

* * * * *

I, the undersigned, certify and declare that I have read all the foregoing answers to this prequalification questionnaire and know their contents. The matters stated in the questionnaire answers are true of my own knowledge and belief, except as to those matters stated on information and belief, and as to those matters I believe them to be true. I declare under penalty of perjury under the laws of the State of California, that the foregoing is correct.

Dated

Signature

Printed Name & Title

PART IV. PROJECT APPROACH, METHODOLOGY AND STAFFING

40. The following questions are specific to the District's planned **Secondary Treatment and Recycled Water Plant Upgrade**. Contractor shall provide responses to the information and questions presented herein to demonstrate experience and qualifications of their firm's designated office and field personnel, as well as their knowledge, understanding and approach to pertinent project objectives and parameters.

1. Provide detailed resume and experience of the person(s) assigned to the proposed DISTRICT project.

- a. Full time Field Superintendent (assigned to this project)**
- b. Office Project Manager**

The above named personnel must remain for the duration of the project; or provide an alternate, of equal qualification, for DISTRICT approval.

2. Plan, methodology and sequencing for this project

Note: For electrical subcontractor pre-qualification submittal, concentrate and emphasize the electrical construction aspects of the questions.

- a. Provide a detailed plan and approach to this project, including project understanding. Demonstrate your general understanding of the activities and sequencing necessary to satisfactorily complete the project.
- b. Detail your plan for maintaining continuous operation of the plant during construction of Primary Pump Station and Modification of the Primary Biofilter (Phase 1). Discuss any proposed temporary by-pass system for electrical, piping, etc., or other methods as required, for maintaining sewage operations for the plant throughout the construction process. Be specific and identify critical activities, sequences and components of the work that may be affected.
- c. Provide a representative sample start up sequencing plan for a similar construction project completed by your company within the past two years. If a previous sample is not available then contractor can create a sample start up sequencing plan for the Primary Pump Station and Modification of the Primary Biofilter (Phase 1) improvements for this facility.
- d. Identify any potential risks and/or variables that may affect the project.
- e. Describe in detail your proposed method(s) for Primary Pump Station and Modification of the Primary Biofilter (Phase 1) during the demolition phase in conjunction with maintaining plant operation.

- f. Designate your safety officer and provide the resume. Detail your jobsite safety program and identify any specific issues such as anticipated confined space entry. Provide a copy of your IIPP (Injury and Illness Prevention Program).
- g. Outline and detail your procedures for communications during all phases of the contract work among all involved parties.
- h. Outline and detail your approach to quality control.
- i. Detail your approach to site protection (including SWPPP or BMP measures) during entire duration of project.
- j. Describe your approach for field verifying and documenting accurate locations for existing underground utilities, particularly where demolition work is proposed and/or points of connection.

**PART B – ELECTRICAL SUB-CONTRACTOR’S APPLICATION TO
PRE-QUALIFY TO BID**

LAS GALLINAS VALLEY SANITARY DISTRICT

RE: Secondary Treatment and Recycled Water Plant Upgrade - Application to Pre-qualify to Bid as General Contractor and Electrical Subcontractor

Gentlemen:

The undersigned Sub-contractor, being familiar with the project descriptions outlined herein, hereby submits to Pre-qualifying to Bid the Plant Expansion Project in accordance with the Pre-qualify to Bid Package.

The undersigned further certifies that it can meet the stated requirements for the Project. The following is an enumeration of the documents and information comprising this Application:

1. This Application.
2. The Sub-Contractor’s signed Pre-qualification Statement and Questionnaire.
3. Attachments as necessary to provide the supporting information required by the Sub-Contractor’s Pre-qualification Statement and Questionnaire.

Sincerely,

Printed Name

Signature

Title

Date

END OF SUB-CONTRACTOR’S APPLICATION TO PRE-QUALIFY TO BID

**ELECTRICAL SUB-CONTRACTOR'S PRE-QUALIFICATION
STATEMENT**

CONTACT INFORMATION:

Firm Name: _____ Check One: Corporation
(as it appears on license) Partnership
 Sole Prop.

Contact Person: _____

Address: _____

Phone: _____ Fax: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company: _____

Contractor's License Number(s):
(C-10 minimum requirement)

I, the undersigned, certify and declare that I have read all the foregoing answers to this Pre-Qualification Questionnaire and know their contents. The matters stated in the questionnaire answers are true of my own knowledge and belief, except as to those matters stated on information and belief, and as to those matters I believe them to be true. I declare under penalty of perjury under the laws of the State of California, that the foregoing is correct.

Date

Name

END OF SUB-CONTRACTOR'S PRE-QUALIFICATION STATEMENT

PRE-QUALIFICATION QUESTIONNAIRE

PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

Contractor will be immediately disqualified if the answer to any of questions 1 through 5 is “no.”¹

Contractor will be immediately disqualified if the answer to any of questions 6, 7, 8 or 9 is “yes.”² If the answer to question 8 is “yes,” and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.

1. Contractor possesses a valid and current California Contractor’s license for the project or projects for which it intends to submit a bid.
 Yes No

3. Contractor has a liability insurance policy with a policy limit of at least \$3,000,000 per occurrence and \$3,000,000 aggregate.
 Yes No

3. Contractor has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.
 Yes No Contractor is exempt from this requirement, because it has no employees

4. Have you attached your latest copy of a reviewed or audited financial statement with accompanying notes and supplemental information.³
 Yes No

NOTE: A financial statement that is not either reviewed or audited is not acceptable. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statement.

5. Have you attached 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) that your current bonding capacity is sufficient for the project for which you seek pre-qualification if you are seeking pre-qualification for a single

¹ A “no” answer to Question 4 will not be disqualifying if the contractor is exempt from complying with Question 4, for reasons explained in footnote 3.

² A contractor disqualified solely because of a “Yes” answer given to question 6, 7, or 9 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

³ Public Contract Code section 20101(e) exempts from this requirement a contractor who has qualified as a small business pursuant to Government Code section 14837(d)(1), if the bid is “no more than 25 per cent of the qualifying amount provided in section 14837(d)(1).” As of January 1, 2001, the qualifying amount is \$10 million, and 25 per cent of that amount, therefore, is \$2.5 million.

project; or (if you are seeking pre-qualification valid for a year) (b) your current available bonding capacity?¹

Yes No

NOTE: Notarized statement must be from the surety company, not an agent or broker.

6. Has your contractor's license been revoked at any time in the last five years?

Yes No

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

Yes No

8. At the time of submitting this pre-qualification form, is your firm 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

If the answer is "Yes," state the beginning and ending dates of the period of debarment:

9. At any time during the last five years, has your firm 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 An additional notarized statement from the surety may be requested by *Public Entity* at the time of submission of a bid, if this pre-qualification package is submitted more than 60 days prior to submission of the bid.

PART II. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, COMPLIANCE WITH CIVIL AND CRIMINAL LAWS

A. Current Organization and Structure of the Business

For Firms That Are Corporations:

- 1a. Date incorporated: _____
- 1b. Under the laws of what State: _____
- 1c. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten percent of the corporation's stock.

| Name | Position | Years with Co. | % Ownership | Social Security # |
|------|----------|----------------|-------------|-------------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

- 1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.
NOTE: For this question, "owner" and "partner" refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

| Person's Name | Construction Firm | Dates of Person's Participation with Firm |
|---------------|-------------------|---|
| | | |
| | | |
| | | |
| | | |

For Firms That Are Partnerships:

- 1a. Date of formation: _____
- 1b. Under the laws of what State: _____
- 1c. Provide all the following information for each partner who owns ten percent or more of the firm.

| Name | Position | Years with Co. | % Ownership | Social Security # |
|------|----------|----------------|-------------|-------------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |

- 1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.
NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

| Person’s Name | Construction Company | Dates of Person’s Participation with Company |
|---------------|----------------------|--|
| | | |
| | | |
| | | |
| | | |

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business. _____
 1b. Social security number of company owner. _____
 1c. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.
NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.

| Person’s Name | Construction Company | Dates of Person’s Participation with Company |
|---------------|----------------------|--|
| | | |
| | | |
| | | |
| | | |

For Firms That Intend to Make a Bid as Part of a Joint Venture:

- 1a. Date of commencement of joint venture. _____
 1b. Provide all of the following information for each firm that is a member of the joint venture that expects to bid on one or more projects:

| Name of firm | % Ownership of Joint Venture |
|--------------|------------------------------|
| | |
| | |
| | |
| | |

B. History of the Business and Organizational Performance

2. Has there been any change in ownership of the firm at any time during the last three years?

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

Yes No

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

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction 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 on a separate signed page.

4. Are any corporate officers, partners or owners connected to any other construction firms.

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 on a separate signed page.

5. State your firm's gross revenues for each of the last three years:

2016 _____ 2015 _____ 2014 _____

6. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

7. Is your firm currently the debtor in a bankruptcy case?

Yes No

If "yes," please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

8. Was your firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above)

Yes No

If "yes," please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court's discharge order, or of any other document that ended the case, if no discharge order was issued.

C. Licenses

9. List all California construction license numbers, classifications and expiration dates of the California contractor licenses held by your firm:

10. If any of your firm's license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the CSLB records who meet(s) the experience and examination requirements for each license.

11. Has your firm changed names or license number in the past five years?

Yes No

If "yes," explain on a separate signed page, including the reason for the change.

12. Has any owner, partner or (for corporations :) officer of your firm operated a construction firm under any other name in the last five years?

Yes No

If "yes," explain on a separate signed page, including the reason for the change.

13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

Yes No

If "yes," please explain on a separate signed sheet.

D. Disputes

14. At any time in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?

Yes No

If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was 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 question 1c or 1d on this form.

Yes No

If "yes," explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.

16. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company 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.

* * * * *

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about "pass-through" disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five years has any claim against your firm concerning your firm's work on a construction project been filed in court or arbitration?
 Yes No

If "yes," on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, 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).

18. In the past five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?
 Yes No

If "yes," on separate signed sheets of paper 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).

* * * * *

19. At any time during the past five years, has any surety company made any payments on your firm's behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm's behalf, in connection with a construction project, either public or private?
 Yes No

If "yes," explain on a separate signed page the amount of each such claim, the name and telephone number of the claimant, the date of the claim, the grounds for the claim, the present status of the claim, the date of resolution of such claim if resolved, the method by which such was resolved if resolved, the nature of the resolution and the amount, if any, at which the claim was resolved.

20. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?
 Yes No
If "yes," explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

E. Criminal Matters and Related Civil Suits

21. Has your firm or any of its owners, officers or partners ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?
 Yes No
If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

22. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?
 Yes No
If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction.

23. Has your firm 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
If "yes," identify on a separate signed page the person or persons convicted, the court (the county if a state court, the district or location of the federal court), the year and the criminal conduct.

F. Bonding

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

Name of bonding company/surety: _____

Name of surety agent, address and telephone number:

25. If your firm was required to pay a premium of more than one per cent for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one per cent, if you wish to do so.

26. List all other sureties (name and full address) that have written bonds for your firm during the last five years, including the dates during which each wrote the bonds:

27. During the last five 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, provide details on a separate signed sheet indicating the date when your firm was denied coverage and the name of the company or companies which denied coverage; and the period during which you had no surety bond in place.

G. Compliance with Occupational Safety and Health Laws and with Other Labor Legislation Safety

28. Has CAL OSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five 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,” attached a separate signed page describing 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.

29. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five 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,” attach a separate signed page describing each citation.

30. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five 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," attach a separate signed page describing each citation.

31. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

32. List your firm's Experience Modification Rate (EMR) (California Workers' Compensation insurance) for each of the past three premium years:

NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

Current year: _____

Previous year: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher you may, if you wish, attach a letter of explanation.

33. Within the last five years has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

Yes No

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate signed page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the last five years. (If your firm has been in the construction business for less than five years, provide a statement by your workers' compensation insurance carrier verifying continuous workers' compensation insurance coverage for the period that your firm has been in the construction business.)

H. Prevailing Wage and Apprenticeship Compliance Record

34. Has there been more than one occasion during the last five years in which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the State's prevailing wage laws?

NOTE: This question refers only to your own firm'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 or pages, 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 you were required to pay.

35. During the last five years, has there been more than one occasion in which your own firm has been penalized or required to pay back wages for failure to comply with the **federal Davis-Bacon** prevailing wage requirements?

Yes No

If "yes," attach a separate signed page or pages describing the nature of the 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, the amount of back wages you were required to pay along with the amount of any penalty paid.

36. Provide the **name, address and telephone number** of the apprenticeship program (approved by the California Apprenticeship Council) from whom you intend to request the dispatch of apprentices to your company for use on any public work project for which you are awarded a contract by **DISTRICT**.

37. If your firm operates its own State-approved apprenticeship program:

- (a) Identify the craft or crafts in which your firm provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

38. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998, if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

Yes No

If "yes," provide the date(s) of such findings, and attach copies of the Department's final decision(s).

PART III. RECENT CONSTRUCTION PROJECTS COMPLETED

39. Contractor shall provide information for review/evaluation regarding a minimum of two (2) and up to a maximum of five (5) closely related projects completed within the last ten (10) years by the organization submitting this pre-qualification package.¹ Be specific and detailed as possible for determination of similarity to the proposed work. Indicate if work involved was for existing or new plant components of work, plant capacity, facilities constructed, etc. Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information:

Project Name: _____

Location: _____

New or Operational Facility: _____

Owner: _____

Owner Contact (name and current phone number):

Architect or Engineer: _____

Architect or Engineer Contact (name and current phone number):

Construction Manager (name and current phone number):

_____ (Give specific facilities constructed)

Description of Project, Scope of Work Performed:

¹ If you wish, you may, using the same format, also provide information about additional projects that you have completed that are similar to the project(s) for which you expect to bid. Five (5) projects will be scored for the number of comparable projects; and two (2) will be scored for construction value and degree of similarity. The two (2) most similar projects will be determined by the DISTRICT.

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

* * * * *

I, the undersigned, certify and declare that I have read all the foregoing answers to this prequalification questionnaire and know their contents. The matters stated in the questionnaire answers are true of my own knowledge and belief, except as to those matters stated on information and belief, and as to those matters I believe them to be true. I declare under penalty of perjury under the laws of the State of California, that the foregoing is correct.

Dated

Signature

Printed Name & Title

PART IV. PROJECT APPROACH, METHODOLOGY AND STAFFING

40. The following questions are specific to the District's planned Project. Electrical Subcontractor shall provide responses to the information and questions presented herein to demonstrate experience and qualifications of their firm's designated office and field personnel, as well as their knowledge, understanding and approach to pertinent project objectives and parameters.

1. Provide detailed resume and experience of the person(s) assigned to the proposed DISTRICT project.

- a. Full time Field Superintendent (assigned to this project)**
- b. Office Project Manager**

The above named personnel must remain for the duration of the project; or provide an alternate, of equal qualification, for DISTRICT approval.

2. Plan, methodology and sequencing for this project

Note: For electrical subcontractor pre-qualification submittal, concentrate and emphasize the electrical construction aspects of the questions.

- a. Provide a detailed plan and approach to this project, including project understanding. Demonstrate your general understanding of the activities and sequencing necessary to satisfactorily complete the project.
- b. Detail your plan for maintaining continuous operation of the plant during construction of Primary Pump Station and Modification of the Primary Biofilter (Phase 1). Discuss any proposed temporary by-pass system for electrical, piping, etc., or other methods as required, for maintaining sewage operations for the plant throughout the construction process. Be specific and identify critical activities, sequences and components of the work that may be affected.
- c. Provide a representative sample start up sequencing plan for a similar construction project completed by your company within the past two years. If a previous sample is not available then contractor can create a sample start up sequencing plan for the Primary Pump Station and Modification of the Primary Biofilter (Phase 1) improvements for this facility.
- d. Identify any potential risks and/or variables that may affect the project.
- e. Describe in detail your proposed method(s) for Primary Pump Station and Modification of the Primary Biofilter (Phase 1) during the demolition phase in conjunction with maintaining plant operation.

- f. Designate your safety officer and provide the resume. Detail your jobsite safety program and identify any specific issues such as anticipated confined space entry. Provide a copy of your IIPP (Injury and Illness Prevention Program).
- g. Outline and detail your procedures for communications during all phases of the contract work among all involved parties.
- h. Outline and detail your approach to quality control.
- i. Describe your experience in providing temporary generator power during electrical demolition and switchovers.
- j. Describe your approach for field verifying and documenting accurate locations for existing underground utilities, particularly where demolition work is proposed and/or points of connection.

Appendix A – Location Map

Appendix A – Location Map



**Appendix B – 60% Construction Plans
(Separate Attachment)**

**Appendix C – Contractor Prequalification
Scoring Instructions**

APPENDIX C

A LIST OF THE SCORABLE QUESTIONS AND THE SCORING INSTRUCTIONS

The information, questions and scoring methodologies detailed herein apply to both the general contractor submittal and the selected electrical subcontractor submittal packages, unless otherwise stated.

The **scorable** questions arise in three different areas:

- (I) History of the business and organizational performance;
- (II) Compliance with occupational safety and health laws, workers' compensation and other labor legislation; and
- (III) Completion of recent projects and quality of performance.
- (IV) Project specific scoring.

The interview questions (interviews by the public agency of project managers on projects completed recently by the contractor) are included in group IV. In a pre-qualification procedure for a single project, Category III would also include a scoring of the number of recently completed projects that are similar to the project on which pre-qualification is at issue. Category IV contains questions regarding parameters that are intended to be more specific to the project for which the contractor is applying for pre-qualification.

Note: Not all questions in the questionnaire are scorable; some questions simply ask for information about the contractor firm's structure, officers and history. This document includes only those questions that are "scorable." The question numbers in this document are the numbers used in the questionnaire. Thus, the questions included here begin with question number 6, and there are a few breaks in the numerical sequence.

The Scores Needed for Prequalification

To prequalify, a contractor would be required to have a passing grade within each of the four large categories referred to above.

For Section I, "History of the business and organizational performance," Department of Industrial Relations (DIR) recommends use of a passing score of **57** on this portion of the questionnaire (of a maximum score of 76 on this portion of the questionnaire).

For Section II, Compliance with occupational safety and health laws, workers' compensation and other labor legislation DIR recommends use of a passing score of **38** on this portion of the questionnaire (of a maximum score of 53 points on this portion of the questionnaire).

Section III, Completion of recent projects and quality of performance, includes questions about recently completed (public or private) construction projects. For previous projects completed, a passing score of **52** (of a maximum 70) is required.

DIR makes no recommendation about how to score a contractor's answers about recently completed past projects. Because of the wide range of projects that a public agency may be planning, and the similarly wide range in the skills, abilities, and experience that a public agency will consider most important for a pending project, it is impossible to propose a useful model scoring system to apply to the answers given about a contractor's completed projects. Accordingly, scoring for this category shall be in accordance with the point system set forth herein for evaluating the similar projects and the accompanying degree of similarity.

Section IV, Project specific scoring, includes specific questions which may directly or indirectly affect the specific project for which the contractor is applying for pre-qualification; and also includes a series of interview questions

For this proposed project, a passing score of **90** (of a maximum 120) is required for the non-interview questions. For the interview questions, DIR recommends that a public agency interview project managers for the owners of two completed projects. DIR recommends a scoring system that would allow a maximum score of 120 points for each interview. For these questions, DIR recommends qualification for a contractor whose score on each of two interviews is 72 points or more; a denial of pre-qualification for a contractor whose score on either interview is less than 55 points; and an additional interview with another reference if the score resulting from one interview is between 55 points and 72 points.

SECTION I

Questions about History of the Business and Organizational Performance

(76 Points Maximum; 57 Points Passing)

6. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

3 years or less = 2 points

4 years = 3 points

5 years = 4 pts.

6 years or more = 5 points

7. Is your firm currently the debtor in a bankruptcy case?

Yes No

“No” = 3 points“ “Yes” = 0 points

8. Was your firm in bankruptcy any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above).

Yes No

“No” = 3 points“ “Yes” = 0 points

13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

Yes No

No = 5 points Yes = 0 points

14. At any time in the last five years, has your firm been assessed and paid liquidated damages after completion of a project, under a construction contract with either a public or private owner?

Yes No

No projects with liquidated damages of more than \$50,000, or one project with liquidated damages = 5 points.

Two projects with liquidated damages of more than \$50,000 = 3 points

Any other answer: no points

15. In the last five years has your firm, or any firm with which any of your company’s owners, officers or partners was 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 question 1c or 1d on this form (page 12 & 13).

Yes No

No = 5 points Yes = 0 points

16. In the last five years, has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?

Yes No

No = 5 points Yes = 0 points

* * * * *

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about “pass-through” disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five years, has any claim **against** your firm concerning your firm’s work on a construction project, been **filed in court or arbitration**?

Yes No

If the firm’s average gross revenue for the last three years was less than \$50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1 such instance.

3 points for “Yes” indicating 2 such instances.

0 points for “Yes” if more than 2 such instances.

If your firm’s average gross revenue for the last three years was more than \$50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances.

3 points for “Yes” indicating either 4 or 5 such instances.

0 points for “Yes” if more than 5 such instances.

18. In the past five years, has your firm made any claim against a project owner concerning work on a project or payment for a contract, and **filed that claim in court or arbitration**?

Yes No

If your firm's average gross revenues for the last three years was less than \$50 million scoring is as follows:

5 points for either "No" or "Yes" indicating 1 such instance.

3 points for "Yes" indicating 2 such instances.

0 points for "Yes" if more than 2 such instances.

If your firm's average gross revenues for the last three years was more than \$50 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.

3 points for "Yes" indicating either 4 or 5 such instances.

0 points for "Yes" if more than 5 such instances.

19. At any time during the past five years, has any surety company made any payments on your firm's behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm's behalf in connection with a construction project, either public or private?

Yes No

5 points for either "No" or "Yes" indicating 1 such claim.

3 points for "Yes" indicating no more than 2 such claims

Subtract five points for "Yes" if more than 2 such claims

20. In the last five years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

Yes No

5 points for either "No" or "Yes" indicating 1 such instance.

3 points for "Yes" indicating 2 such instances.

0 points for "Yes" or if more than 2 such instances.

21. Has your firm or any of its owners, officers, or partners ever been found liable in a civil suit, or found guilty in a criminal action, for making any false claim or material misrepresentation to any public agency or entity?

Yes No

No = 5 points Yes = subtract 5 points

22. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No

No = 5 points Yes = subtract 5 points

23. Has your firm 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

No = 5 points Yes = subtract 5 points

25. If your firm was required to pay a premium of more than one per cent for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one per cent, if you wish to do so.

_____ %

*5 points if the rate is no more than one per cent
3 points if the rate was no higher than 1.10 per cent.
0 points for any other answer.*

27. During the last five years, has your firm ever been denied bond credit by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?

Yes No

No = 5 points Yes = 0 points

SECTION II

Questions about compliance with safety, workers compensation, prevailing wage and apprenticeship laws.

(11 Questions: 53 Points maximum; 38 Points Passing)

28. Has CAL OSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five 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 the firm’s average gross revenues for the last three years was less than \$50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1 such instance.

3 points for “Yes” indicating 2 such instances.

0 points for “Yes” if more than 2 such instances.

If the firm’s average gross revenues for the last three years was more than \$50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances.

3 points for “Yes” indicating either 4 or 5 such instances.

0 points for “Yes” if more than 5 such instances.

29. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five years?

Note: If you have filed an appeal of a citation and the appropriate appeals Board has not yet ruled on your appeal, you need not include information about it.

Yes No

If yes, attach a separate signed page describing each citation.

If the firm’s average gross revenues for the last three years was less than \$50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1 such instance.

3 points for “Yes” indicating 2 such instances.

0 points for “Yes” or if more than 2 such instances.

If the firm’s average gross revenues for the last three years was more than \$50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances.

*3 points for "Yes" indicating either 4 or 5 such instances.
0 points for "Yes" if more than 5 such instances.*

30. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five 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 the firm's average gross revenues for the last three years was less than \$50 million, scoring is as follows:

*5 points for either "No" or "Yes" indicating 1 such instance.
3 points for "Yes" indicating 2 such instances.
0 points for "Yes" or if more than 2 such instances.*

If the firm's average gross revenues for the last three years was more than \$50 million, scoring is as follows:

*5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.
3 points for "Yes" indicating either 4 or 5 such instances.
0 points for "Yes" if more than 5 such instances.*

31. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

*3 points for an answer of once each week or more often.
0 points for any other answer*

32. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

Current year: _____

Previous year: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher, you may, if you wish, attach a letter of explanation.

NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

*5 points for three-year average EMR of .95 or less
3 points for three-year average of EMR of more than .95 but no more than 1.00
0 points for any other EMR*

33. Within the last five years, has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?
 Yes No

*5 points for either "No" or "Yes" indicating 1 such instance.
0 points for any other answer.*

34. Has there been more than one occasion during the last five years on which your firm was required to pay either back wages or penalties for your own firm's failure to comply with the state's prevailing wage laws?
 Yes No

NOTE: This question refers only to your own firm's violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.

If your firm's average gross revenues for the last three years was less than \$50 million, scoring is as follows:

*5 points for either "No," or "Yes" indicating either 1 or 2 such instance.
3 points for "Yes" indicating 3 such instances.
0 points for "Yes" and more than 3 such instances.*

If your firm's average gross revenues for the last three years was more than \$50 million, scoring is as follows:

*5 points for either "No" or "Yes" indicating no more than 4 such instances.
3 points for "Yes" indicating either 5 or 6 such instances.
0 points for "Yes" and more than 6 such instances.*

35. During the last five years, has there been more than one occasion on which your own firm has been penalized or required to pay back wages for failure to comply with the federal Davis-Bacon prevailing wage requirements?
 Yes No

If your firm's average gross revenues for the last three years was less than \$50 million, scoring is as follows:

*5 points for either "No," or "Yes" indicating either 1 or 2 such instance.
3 points for "Yes" indicating 3 such instances.
0 points for "Yes" and more than 3 such instances.*

If your firm's average gross revenues for the last three years was more than \$50 million, scoring is as follows:

*5 points for either "No" or "Yes" indicating no more than 4 such instances.
3 points for "Yes" indicating either 5 or 6 such instances.
0 points for "Yes" and more than 6 such instances.*

36. Provide the **name, address and telephone number** of the apprenticeship program sponsor(s) (approved by the California Division of Apprenticeship Standards) that will provide apprentices to your company for use on any public work project for which you are awarded a contract by **DISTRICT**.
-
-

*5 points if at least one approved apprenticeship program is listed.
0 points for any other answer.*

37. If your firm operates its own State-approved apprenticeship program:
- (a) Identify the craft or crafts in which your firm provided apprenticeship training in the past year.
 - (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
 - (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

5 points if one or more persons completed an approved apprenticeship while employed by your firm.

0 points if no persons completed an approved apprenticeship while employed by your firm.

38. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998 if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

Yes No.

If yes, provide the date(s) of such findings, and attach copies of the Department's final decision(s).

If your firm's average gross revenues for the last three years was less than \$50 million, scoring is as follows:

5 points for either "No," or "Yes" indicating either 1 or 2 such instance.

*3 points for “Yes” indicating 3 such instances.
0 points for “Yes” and more than 3 such instances.*

If your firm’s average gross revenues for the last three years was more than \$50 million, scoring is as follows:

*5 points for either “No” or “Yes” indicating no more than 4 such instances.
3 points for “Yes” indicating either 5 or 6 such instances.
0 points for “Yes” and more than 6 such instances.*

SECTION III

Questions concerning recent construction projects completed:

(1 Question: 70 Points Maximum; 52 Points Passing)

The following question to be scored only where a public agency is undertaking a pre-qualification procedure valid for a single project only.

39. Contractor shall provide information regarding a minimum of two (2) and up to a maximum of five (5) closely related projects completed within the last ten (10) years by the organization submitting this pre-qualification package⁽¹⁾. Clearly indicate whether the project was a complete new facility or an upgrade/modification of an existing wastewater plant; and whether an electrical bypass or other facility where bypassing was required for maintaining plant service. Be specific in identifying the work and the facilities involved on the completed construction projects such as intake structures, screens, primary/secondary clarifiers, equalization basins, bio-reactors, digesters, disinfection facilities, sludge thickening equipment, piping and electrical relocations, etc.

Names and references must be current and verifiable. DISTRICT reserves the right to request and/or evaluate additional project references and/or project related information, which may be used in the selection process. Use separate sheets of paper that contain all of the following information:

Project Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Architect or Engineer: _____

Architect or Engineer Contact (name and current phone number):

Construction Manager (name and current phone number):

Description of Project, Scope of Work Performed:

⁽¹⁾ If you wish, you may, using the same format, also provide information about other projects that you have completed that are similar to the project(s) for which you expect to bid; however a maximum of 5 will be scored.

Total Value of Construction (including change orders): _____
 Original Scheduled Completion Date: _____
 Time Extensions Granted (number of days): _____
 Actual Date of Completion: _____

* * * * *

Scoring of previous projects completed:

For pre-qualification for a single project that may require specific skills and capabilities, public agencies may choose to score contractors for the number of similar projects completed, and the degree of similarity between past projects and the planned project. Note that for pre-qualification for this project, the minimum construction value for the rated projects will be \$5,000,000 for General Contractors and \$500,000 for Electrical Subcontractors. The scoring for similar projects is set forth below.

1. Number of previous similar projects (20 points)

5 projects = 20 points
 4 projects = 16 points
 3 projects = 12 points
 2 min. projects = 8 points

2. Construction value for two projects (20 points); 10 points maximum each project

General Contractor

| | | # of Similar Projects (up to 2 max) | |
|-----------------|------------|---|------------|
| >\$25 Mil | =10 points | x2 | =20 points |
| \$20 - \$24 Mil | =8 points | x2 | =16 points |
| \$15 - \$19 Mil | =6 points | x2 | =12 points |
| \$10 - \$14 Mil | =4 points | x2 | =8 points |
| \$5 - \$9 Mil | =2 points | x2 | =4 points |
| < \$5 Mil | =0 points | | |

Electrical Subcontractor

| | | | |
|-------------------|------------|----|------------|
| >\$2.5 Mil | =10 points | x2 | =20 points |
| \$2.0 - \$2.4 Mil | =8 points | x2 | =16 points |
| \$1.5 - \$1.9 Mil | =6 points | x2 | =12 points |
| \$1.0 - \$1.4 Mil | =4 points | x2 | =8 points |
| \$0.5 - \$0.9 Mil | =2 points | x2 | =4 points |
| < \$0.5 Mil | =0 points | x2 | =0 points |

3. Degree of similarity for two projects (20 points); 10 points maximum each project⁽¹⁾

| | | # of Similar Projects | | | |
|-----------|-------------|--------------------------|---|-----------|--|
| 90 – 100% | = 10 points | x 2 | = | 20 points | |
| 80 – 89% | = 8 points | x 2 | = | 16 points | |
| 70 – 79% | = 6 points | x 2 | = | 12 points | |
| 60 – 69% | = 4 points | x 2 | = | 8 points | |
| < 60% | = 0 points | | | | |

4. Completion schedule for min. two projects (10 points)⁽²⁾

| | | # of Similar Projects | | | |
|--|--|--------------------------|---|-----------|--|
| Original schedule met | | 5 x 2 | = | 10 points | |
| Excusable delays and met revised schedule | | 4 x 2 | = | 8 points | |
| Unexcused delay up to max. 20% beyond orig. schedule | | 3 x 2 | = | 6 points | |
| > 20% unexcused delay | | | = | 0 points | |

Passing Score: 52 points out of 70 points

⁽¹⁾ For evaluation purposes, the two projects selected will be from those having highest degree of similarity.

⁽²⁾ For evaluation purposes, the two projects selected will be from those having highest degree of similarity.

SECTION IV

Questions concerning DISTRICT Secondary Treatment and Recycled Water Plant Upgrade Project:

(2 Questions: 120 Points Maximum; 90 Points Passing)

40. The following questions to be scored only where a public agency is undertaking a pre-qualification procedure valid for a single project only. Contractor shall provide responses to the information and questions presented herein to demonstrate experience and qualifications of their firm's designated office and field personnel, as well as their knowledge, understanding and approach to pertinent project objectives and parameters.

Project specific scoring:

1. Experience of key personnel in their listed positions (20 points)

a. Full time Field Superintendent (assigned to this project) (10 points)

| | |
|-----------|-------------|
| 10 years | = 10 points |
| 7 years | = 7 points |
| 5 years | = 5 points |
| 3 years | = 3 points |
| < 3 years | = 0 points |

b. Office Project Manager (10 points)

| | |
|----------|-------------|
| 10 years | = 10 points |
| 7 years | = 7 points |
| 5 years | = 5 points |
| 3 years | = 3 points |
| <3 years | = 0 points |

The above named personnel must remain for the duration of the project; or provide an alternate, of equal qualification, for DISTRICT approval.

2. Plan, methodology and sequencing for this project (100 points)

Note: For electrical subcontractor pre-qualification submittal, concentrate and emphasize the electrical construction aspects of the questions.

- Provide a detailed plan and approach to this project, including project understanding. Demonstrate your understanding of the activities and sequencing necessary to satisfactorily complete the project. **(16 points)**
- Detail your plan for maintaining continuous operation of the plant during construction of Primary Pump Station and Modification of the Primary Biofilter (Phase 1). Discuss any

proposed temporary by-pass system for electrical, piping, etc., or other methods as required, for maintaining sewage operations for the plant throughout the construction process. Be specific and identify critical activities, sequences and components of the work that may be affected. **(14 points)**

c. Provide a representative sample start up sequencing plan for a similar construction project completed by your company within the past two years. If a previous sample is not available then contractor can create a sample start up sequencing plan for the Primary Pump Station and Modification of the Primary Biofilter (Phase 1) improvements for this facility. **(14 points)**

d. Identify any potential risks and/or variables that may affect the project. **(12 points)**

e. **(GENERAL CONTRACTOR)** Detail your plan for maintaining continuous operation of the plant during construction of Primary Pump Station and Modification of the Primary Biofilter (Phase 1). **(12 points)**

(ELECTRICAL CONTRACTOR) Detail your plan for maintaining continuous operation of the plant during construction of Primary Pump Station and Modification of the Primary Biofilter (Phase 1). **(12 points)**

f. Designate your safety officer and provide the resume. Detail your jobsite safety program and identify any specific issues such as anticipated confined space entry. Provide a copy of your IIPP (Injury and Illness Prevention Program). **(8 points)**

g. Outline and detail your procedures for communications during all phases of the contract work among all involved parties. **(8 points)**

h. Outline and detail your approach to quality control. **(6 points)**

i. **(GENERAL CONTRACTOR)** Detail your approach to site protection (including SWPPP or BMP measures) during entire duration of project. **(6 points)**

(ELECTRICAL CONTRACTOR) Describe your experience in providing temporary generator power during electrical demolition and switchover. **(6 points)**

j. Describe your approach for field verifying and documenting accurate locations for existing underground utilities, particularly where demolition work is proposed and/or points of connection. **(4 points)**

Passing Score: 90 points out of 120 points

MODEL INTERVIEW QUESTIONS

The following questions will be used to interview randomly selected contacts from at least two completed projects. DISTRICT will conduct the interviews. No action on the contractor's part is necessary. These questions are included on the package given to the contractor for information only.

The highest possible score is 120 Points. A score less than 55 points disqualifies a contractor from bidding on projects that are proposed by DISTRICT. A score of between 56 and 72 indicates DISTRICT should conduct an interview of another contact, that is, a manager of another completed project. A score of 72 or higher on each of two interviews is sufficient for pre-qualification.

First, please give a brief description of the project. (Project description by interviewer)

1. Are there any outstanding stop notices, liens, or claims by the contractor that are currently unresolved on contracts for which notices of completion were recorded more than 120 days ago? (1 point for each is deducted from overall score; maximum amount to be deducted is 5 points)
2. On a scale of 1-10, with 10 being the best, did the contractor provide adequate personnel? (Max. 10 points)
3. On a scale of 1-10, with 10 being the best, did the contractor provide adequate supervision? (Max. 10 points)
4. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job? (Max. 10 points)
5. On a scale of 1-10, with 10 being the best, was the contractor timely in providing reports and other paperwork, including change order paperwork and scheduling updates? (Max. 10 points)
6. On a scale of 1-10, with 10 being the best, did the contractor adhere to the project schedule that your [agency] [business] approved? (Max. 10 points)
7. Was the project completed on time? (10 points if the answer is "Yes").
Or, if the answer is "no," on a scale of 1-10, with 10 being the best, to what extent was the contractor responsible for the delay in completion?
8. On a scale of 1-10, with 10 being the best, rate the contractor on the timely submission of reasonable cost and time estimates to perform change order work. (Max. 10 points)

9. On a scale of 1-10, with 10 being the best, rate the contractor on how well the contractor performed the work after a change order was issued, and how well the contractor integrated the change order work into the existing work. (Max. 10 points).
10. On a scale of 1-10, with 10 being the best, rate how has the contractor been performing in the area of turning in Operation & Maintenance manuals, completing as-built drawings, providing required training and taking care of warranty items? (Max. 10 points)
11. On a scale of 1-10, with 10 being the best, rate the contractor on whether there were an unusually high number of claims, given the nature of the project, or unusual difficulty in resolving them. (Max. 10 points)
12. On a scale of 1-10, with 10 being the highest, rate the contractor with respect to timely payments by the contractor to either subcontractors or suppliers. (If the person being interviewed knows of no such difficulties, the score on this question should be "10.")
13. On a scale of 1-10, with 10 being the best, how would you rate the quality of the work overall? (Max. 10 points)

INSTRUCTIONS FOR PUBLIC AGENCIES

Re: Interview Questions

The following is meant to assist the public agency to conduct the interviews of the managers of projects previously completed (that is, the people who supervised the projects for the project owners) by the contractor wishing to pre-qualify. The interview questions allow qualitative review of work performance for contractors who choose to bid and pre-qualify for public works contracts. The interview questions will be used to examine randomly selected contacts from at least two completed past projects.

In each question, the person being interviewed is asked to rate a certain aspect of contractor's performance, using a scale of 1 to 10. The highest possible score is 120 points. A score of less than 55 points disqualifies the contractor from bidding on projects that are proposed by the public agency. A score of **72 points or more** on each interview is sufficient for a contractor to qualify on this portion of the prequalification process. If the scores resulting from an interview are between 55 and 72, the public agency should conduct another interview to collect additional information.

It is possible that the score given to any interview answer may be challenged in an appeal. For that reason, be sure to: (a) ask the person being interviewed for specific information or details, to explain or substantiate the numerical answer given; and (b) take written notes of the information provided.

Selection of the Interviewer:

- (a) The public agency should select an individual who is at least moderately well informed about public works construction.
- (b) The individual should be unbiased during the interview; this is to ensure accurate implementation of the interview questions.
- (c) The individual should not use examples or deviate from the questions unless the project manager is unclear and prompts further explanation. The interviewer should offer additional explanation of the questions only if he/she is sure of the intent of the question in the interview.

Locating the respondent to interview:

- (a) The interviewer should attempt to contact a project manager of a past project for the interview. The interviewer should be aware that for one interview to be completed there may be a need to interview multiple individuals. That is, the interviewer may have to contact multiple individuals, such as the project manager concerning the building process, and a financial manager for warranty items, assessed liens, and the like.
- (b) Once reached, the interviewer should review the information contained in the questionnaire of the past project with the project manager. That is, review who is being interviewed and why (purposes of pre-qualifying for public works), the past project type, completion date, and other pertinent information to ensure that the project manager is sure of the project he/she is asked to review.

Interview Length:

- (a) The interview should take 8-12 minutes, under normal circumstances.
- (b) The interviewer, when contacting the project manager, should convey the expected time which it takes to conduct the interview. This is to ensure the individual is not discouraged from taking part in the interview

Conducting the interviews:

- (a) The interview should examine at least two separate past projects listed in the questionnaire.
- (b) After the interview is scored, the interviewer should compare the interview score with the same contractor's score on the written questionnaire. If the ratings (overall scores) are far apart, the interviewer should conduct at least one/two more interviews to determine how past performance should be weighted.
- (c) While conducting the interview, the interviewer should be consistent with the way the questions are presented. That is, if the interviewer changes the way questions are presented during the review, it could potentially change the way the respondent answers the questions and jeopardize the overall scoring.