Request for Prequalification

General Contractor

For

ECHOWATER PROJECT
FLOW EQUALIZATION (FEQ)

August 2014
# Sacramento Regional County Sanitation District
## Request for Contractor Prequalification
### EchoWater Project
#### Flow Equalization (FEQ)

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NOTICE TO CONTRACTORS

Notice is hereby given that Sacramento Regional County Sanitation District (Regional San) has determined that bidders on the *Flow Equalization Project* (Project) to be undertaken by Regional San must be pre-qualified prior to submitting a bid on this project. It is mandatory that all Contractors who intend to submit a bid (as a prime contractor), fully complete the pre-qualification questionnaire, provide all materials requested herein, and be approved by Regional San to be on the final qualified Bidders list. No bid will be accepted from a Contractor that has failed to comply with these requirements. If two or more business entities submit a bid as part of a Joint Venture, or expect to submit a bid as part of a Joint Venture, each entity within the Joint Venture must be separately qualified to bid.


Answers to questions contained in the attached questionnaire, information about current bonding capacity, notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information, are required. Regional San reserves the right to check other sources available. Regional San’s decision will be based on objective evaluation criteria.

Regional San reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information. Contractors whose rating changes sufficient to disqualify them will be notified, and given an opportunity for a hearing consistent with the hearing procedures described below for appealing a pre-qualification rating.

While it is the intent of the pre-qualification questionnaire and documents required therewith to assist Regional San in determining bidder responsibility prior to bid and to aid Regional San in selecting the lowest responsible bidder, neither the fact of pre-qualification, nor any pre-qualification rating, will preclude Regional San from a post-bid consideration and determination of whether a bidder has the quality, fitness, capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness.

The pre-qualification packages should be submitted under seal and marked “CONFIDENTIAL” by 3:00 PM, local prevailing time, on September 26, 2014 to:

EchoWater Project  
SRWTP Administration Building  
8521 Laguna Station Road  
Elk Grove, CA 95758  
Attn: PMO Construction Management Lead
The pre-qualification packages (questionnaire answers and financial statements) submitted by Contractors are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. However, contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure, and the first two pages of the questionnaire will be used for that purpose.

Each questionnaire must be signed under penalty of perjury in the manner designated at the end of the form, by an individual who has the legal authority to bind the Contractor on whose behalf that person is signing. If any information provided by a Contractor becomes inaccurate, the Contractor must immediately notify Regional San and provide updated accurate information in writing, under penalty of perjury.

Regional San reserves the right to waive minor irregularities and omissions in the information contained in the pre-qualification application submitted, to make all final determinations, and to determine at any time that the pre-qualification procedures will not be applied to a specific future public project.

The project may be funded with State Revolving Funds (SRF), and is subject to both federal and State prevailing wage requirements. Federal prevailing wage requirements are established pursuant to the federal Davis-Bacon Act, which requires the payment of wages at rates not less than those prevailing on projects of a character similar in the locality as determined by the Secretary of Labor in accordance with subchapter IV of chapter 31 of title 40, United States Code. State prevailing wages are established by the Director of the California Department of Industrial Relations under the provisions of section 1773 of the California Labor Code. The federal prevailing wage rates are specified in the “Federal Davis Bacon Wages” included in the bid specifications, and the State prevailing wage rates are on file at Department of Utilities, 1395 35th Ave, Sacramento CA 95822, Attn: Renee Graves, and shall be made available to any bidder on request.

The anticipated schedule for contractor prequalification is summarized as follows:

<table>
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<tr>
<th>Milestone</th>
<th>Date</th>
</tr>
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<tr>
<td>Issue Pre-Qualification Document</td>
<td>8/19/2014</td>
</tr>
<tr>
<td>Contractor Prepares Pre-Qual Response</td>
<td>(30 Working Days)</td>
</tr>
<tr>
<td>Regional San Evaluation</td>
<td>(10 Working Days)</td>
</tr>
<tr>
<td>Contractor Notifications</td>
<td>(1 Working Day)</td>
</tr>
<tr>
<td>Appeals Period</td>
<td>(5 Working Days)</td>
</tr>
<tr>
<td>Advertise for Bids</td>
<td>(+/- 46 Calendar Days)</td>
</tr>
</tbody>
</table>

Regional San may refuse to grant pre-qualification where the requested information and materials are not provided, or not provided by September 26, 2014. There is no appeal from a refusal for an incomplete or late application. The closing time for submittal of prequalification documents will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

EchoWater FEQ Project
Request for Prequalifications
Where a timely and completed application results in a rating below that necessary to pre-qualify, an appeal can be made. An appeal is begun by the Contractor delivering notice to Regional San of its appeal of the decision with respect to its pre-qualification rating, no later than 5 business days following notification of not being prequalified. Without a timely appeal, the Contractor waives any and all rights to challenge the decision of Regional San, whether by administrative process, judicial process or any other legal process or proceeding.

If the Contractor gives the required notice of appeal and requests a hearing, an Appeals Panel hearing shall be conducted. The hearing shall be an informal process conducted by a panel to hear such appeals (the “Appeals Panel”) with authority to conduct the hearing delegated by Regional San’s Board of Directors. At or prior to the hearing, the Contractor will be advised of the basis for Regional San’s pre-qualification determination. The Contractor will be given the opportunity to present information and present reasons in opposition to the rating. Within 5 business days of the conclusion of the hearing, the Appeals Panel will render its decision.

**NOTICE:** REGIONAL SAN WILL PREQUALIFY SEPARATELY (SHOTCRETE, ROLLER COMPACTED CONCRETE, ELECTRICAL, AND INSTRUMENTATION AND CONTROL) SUBCONTRACTORS FOR THIS PROJECT. CONTRACTORS PREQUALIFYING UNDER THIS PREQUALIFICATION DOCUMENT SHALL USE A PREQUALIFIED (SHOTCRETE, ROLLER COMPACTED CONCRETE, ELECTRICAL AND INSTRUMENTATION AND CONTROL) SUBCONTRACTOR WHEN SUBMITTING BIDS FOR THE FLOW EQUALIZATION PROJECT.

ANY PROSPECTIVE GENERAL CONTRACTOR THAT DESIRES TO PERFORM EITHER THE SHOTCRETE, ROLLER COMPACTED CONCRETE (RCC), ELECTRICAL, OR INSTRUMENTATION AND CONTROL PORTIONS OF THE WORK WITH ITS OWN FORCES MUST SEPARATELY PREQUALIFY FOR THAT PORTION OF THE WORK.

**A non-mandatory Contractor Outreach Meeting will be held on Tuesday, September 9, 2014, from 1:30 PM to 3:30 PM in the SRWTP Commons Conference Room, 8521 Laguna Station Road, Elk Grove, CA 95758.**

Questions about the Contractor Prequalification must be submitted in writing to Regional San’s Representative, at the following address:

Attn: Christina R. Brown, PMO Project Manager
EchoWater Project
SRWTP Administration Building
8521 Laguna Station Road
Elk Grove, CA 95758
Phone No. (916)-875-9455

- END OF NOTICE -
SECTION 1

INSTRUCTIONS FOR PREQUALIFICATION SUBMITTALS

1.1 DELIVERY OF SUBMITTAL

The Prequalification Submittal shall be enclosed in a sealed package. The submittal shall be mailed or delivered to the following location:

EchoWater Project
SRWTP Administration Building
8521 Laguna Station Road
Elk Grove, CA 95758
Attn: PMO Construction Management Lead

The outside of the package shall be marked “CONFIDENTIAL” and plainly identify the subject of the submittal (Contractor Prequalification); the project title *Flow Equalization – General Contractor*; and the name, address, phone number, fax and e-mail address of the Contractor. Each prequalification submittal shall include a Prequalification Submittal Form (see Section 3) completely filled in and signed by a duly authorized representative of the Contractor.

The Prequalification submittal must be received by: **3:00PM, September 26, 2014.**

1.2 PREPARATION OF SUBMITTAL

Each prequalification submittal shall be assembled in one document with a Title Page, Table of Contents, and Section Dividers. The submittal information shall be presented in the order requested under Submittal Information. Oversize drawings (larger than 11 inches by 17 inches), if provided, shall be folded and inserted in plastic carriers. One (1) original, seven (7) copies, and one digital (PDF) on CD, of the Prequalification Submittal shall be delivered.

1.3 WITHDRAWAL OF SUBMITTAL

A Prequalification Submittal may be withdrawn by written request to PMO Construction Management Lead.

1.4 LATE SUBMITTAL

Any Prequalification Submittal received after the scheduled receipt date and time will not be considered and will be returned to the Contractor unopened.
1.5 PROJECT INFORMATION

A general description of the Flow Equalization Project is included in Appendix A - Project Description.

1.6 INTERPRETATION OF INFORMATION

If any General Contractor contemplating the preparation of a Prequalification Submittal is in doubt as to the true meaning of any part of this Prequalification Document, or finds discrepancies or omissions, the Contractor may submit to Christina R. Brown, PMO Project Manager a written request for an interpretation or correction. The person submitting the request will be responsible for prompt delivery. Requests must be received a minimum of fourteen (14) calendar days prior to the due date for receipt of the Prequalification Submittals. Any interpretation or correction of this Prequalification Document will be made only by a written addendum. Each addendum will be posted on the Regional San website. It is the responsibility of the Contractor to frequently check the website for new addenda. Regional San will not be responsible for any other explanations or interpretations of this Prequalification Document.

1.7 DETERMINATION

Regional San will determine the prequalification status of each General Contractor based on the responses to the information requested in Section 3. Regional San shall be the sole judge as to the adequacy of each Contractor to perform this project and Regional San’s decision shall be final.

The anticipated schedule for contractor prequalification determination is provided in the Notice to Contractors.

Any General Contractor submitting a Prequalification Submittal who wishes to appeal the final selection of prequalified Contractors shall file a written appeal with Regional San. Regional San must receive the appeal no later than five (5) working days after the date the Contractor receives notification of its prequalification status from Regional San or the appeal will be dismissed as untimely.

1.8 EXCLUSION OF COST QUOTATIONS

The Prequalification Submittal is a request for information, not a cost proposal. Contractors are advised that a formal or informal cost quotation for the project is not requested by Regional San and should not be included with the Submittal. Any such information furnished will not be considered.
SECTION 2

SCOPE OF PREQUALIFICATION

2.1 INTENT

The prequalification procedure will be used to determine responsible General Contractors for the Flow Equalization Project. However, prequalification is not a conclusive determination of responsiveness and responsibility and a prequalified General Contractor may be rejected as nonresponsive or non-responsible by Regional San during the subsequent bidding for the subject project. In all cases, the General Contractor ultimately awarded the Contract shall comply with the requirements of the construction Contract Documents for the subject project.

A prequalification procedure will also be used to determine responsive and responsible (specialty) subcontractors (separately, not as part of this prequalification document) and only prequalified (specialty) subcontractors shall be used by prequalified General Contractors to bid and construct the Flow Equalization Project. At time of bidding, the bidders will be provided a list of prequalified subcontractors, and a prequalified General Contractor not using a prequalified (specialty) subcontractor will be considered nonresponsive.

2.2 EXPERIENCE REQUIREMENT

The prequalification procedure involves the review and evaluation of information regarding the proven experience of the General Contractor to construct the subject project in a manner acceptable to Regional San. The experience of the General Contractor will be evaluated on the basis of the prequalification submittal and information gathered by Regional San from the references of related projects. Proven experience is defined as the actual performance of the General Contractor on previous construction projects of a similar nature (see Part III of Section 3 for experience requirements) as corroborated by said references.

Regional San is not obligated to prequalify or accept a Contractor with no or unsatisfactory related experience.
SECTION 3

SUBMITTAL INFORMATION

3.1 GENERAL

The Prequalification Submittal prepared and delivered by a General Contractor shall include as a minimum the information listed herein. Each General Contractor shall review the requirements of this Request for Prequalification Document and provide whatever additional information may be required to allow complete determination of conformance with the evaluation criteria utilized for the Basis of Determination. Incomplete or unclear information may be grounds for rejection of a submittal as nonresponsive.
PREQUALIFICATION SUBMITTAL FORM

TO: EchoWater Project
    SRWTP Administration Building
    8521 Laguna Station Road
    Elk Grove, CA 95758
    Attn: PMO Construction Management Lead

FOR: FLOW EQUALIZATION PROJECT
     PREQUALIFICATION DOCUMENT FOR GENERAL CONTRACTORS

THE UNDERSIGNED CONTRACTOR HEREBY AGREES AND DECLARES THAT:

DETERMINATION OF PREQUALIFICATION

    Receipt of this submittal by Regional San does not constitute either a direct or implied
guarantee to the General Contractor that prequalification is or will be granted. The
undersigned agrees to the procedures and conditions of the prequalification requirements
described in this Prequalification Document.

COMPLETENESS AND ACCURACY

    All General Contractor statements and information contained in the Prequalification
Document shall be complete and accurate. The Submittal contains no false or deliberately
misleading information.
CLOSING STATEMENT

A. The undersigned is a legally authorized representative of the Contractor.

   Legal name of Contractor: ________________________________
      (as it appears on license)

   Contact: ________________________________________

   Phone: ________________________________________

   Business address: ________________________________________
      ________________________________________

   Fax: ________________________________________

   E-Mail Address: ________________________________________

B. Addenda:

   The undersigned acknowledges receipt of the following Addenda Nos.: _____________

C. By:

   1. Signature: ________________________________________

   2. Clearly printed name: ________________________________________

   3. Position: ________________________________________

- END OF FORM -
PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

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

Contractor will be immediately disqualified if the answer to any of questions 6, 7, 8 or 9 is “yes.” 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 general liability insurance policy with a policy limit of at least $5,000,000 per occurrence and $10,000,000 annual aggregate and an automobile liability policy with a policy limit of at least $5,000,000 per occurrence.

☐ 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?

☐ 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.

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.
5. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) 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 (see Appendix A, Project Description, for bonding requirements), and (b) your current available bonding capacity?4

☐ 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 5 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 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 5 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

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4 An additional notarized statement from the surety may be requested by the District 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.

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Years with Co.</th>
<th>% Ownership</th>
<th>Social Security #</th>
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</table>

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 5 years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or 10 percent or more of its stock, if the business is a corporation.

<table>
<thead>
<tr>
<th>Person’s Name</th>
<th>Construction Firm</th>
<th>Dates of Person’s Participation with Firm</th>
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</table>

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 10 percent or more of the firm.

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Years with Co.</th>
<th>% Ownership</th>
<th>Social Security #</th>
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</tbody>
</table>
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 5 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.

<table>
<thead>
<tr>
<th>Person’s Name</th>
<th>Construction Company</th>
<th>Dates of Person’s Participation with Company</th>
</tr>
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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 5 years.

**NOTE:** For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or 10 percent or more of its stock, if the business is a corporation.

<table>
<thead>
<tr>
<th>Person’s Name</th>
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</table>
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 3 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 3 years:

   ___________________    ___________________    ___________________

6. How many years has your organization been in business 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 5 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.

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 whom meet(s) the experience and examination requirements for each license.

________________________________________________________________________

________________________________________________________________________

11. Has your firm changed names or license number in the past 5 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 5 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 5 years?

☐ Yes ☐ No

If “yes,” please explain on a separate signed sheet.
Disputes

14. At any time in the last 5 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 5 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 5 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 5 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 5 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 5 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 5 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.
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 Agency or location of the federal court), the year and the criminal conduct.

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 1 percent for a performance and payment bond on any project(s) on which your firm worked at any time during the last 3 years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than 1 percent, 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 5 years, including the dates during which each wrote the bonds:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

27. During the last 5 years, has your firm ever been denied bond coverage by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?

☐ Yes ☐ No

If yes, 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.

C. 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 5 years?

NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.

☐ Yes ☐ No

If “yes,” attach 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 5 years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If “yes,” attach a separate signed page describing each citation.
30. Has the EPA or any Air Quality Management Agency 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 5 years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If “yes,” 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) for each of the past 3 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 3 years is or was 1.00 or higher you may, if you wish, attach a letter of explanation.

33. Within the last 5 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 5 years. (If your firm has been in the construction business for less than 5 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.)
Prevailing Wage and Apprenticeship Compliance Record

34. Has there been more than one occasion during the last 5 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 5 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 the Agency.

________________________________________

________________________________________

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 3 years in each apprenticeship and the number of persons who, during the past 3 years, completed apprenticeships in each craft while employed by your firm.

38. At any time during the last 5 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?

☐ 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.  A. Contractor Experience

Construction of the Flow Equalization Project (with an estimated construction value of $158 million) requires at a minimum that General Contractor have one of the following experiences:

- Extensive specialized experience in constructing large and complex water and/or wastewater facilities under difficult conditions, compact schedule, and in close coordination with multiple adjacent concurrent construction projects.
- Extensive experience in heavy civil projects under difficult conditions, compact schedule, and in close coordination with multiple adjacent construction projects.
- Extensive experience in dam construction.
- Extensive experience in levee construction.

List a minimum of five projects of similar type, complexity, and comparable value ($40,000,000 or more) which the Contractor has completed in the last ten years. At least two projects listed shall have a value greater than $60,000,000 each. Projects of a similar type and complexity shall include construction of water or wastewater treatment plants (including treatment processes and pumping) and/or heavy civil projects listed above that include all of the features below:

- Major earthwork consisting of combined excavation and backfill volumes in excess of 250,000 cubic yards;
- Construction of cast-in-place reinforced concrete hydraulic structures with concrete quantities in excess of 20,000 cubic yards for combined hydraulic and non-hydraulic concrete;
- Installation of large diameter (>48-inch) yard piping;
- Installation and start-up of mechanical equipment associated with water or wastewater unit processes (e.g. pumps, large slide gates, etc.); and
- Overall coordination of facility testing and start-up.

Furnish the following information (it is the responsibility of the Contractor to confirm all contact information requested below):

a. Name of the project.
b. Firm’s role and percent of work performed.
c. Location of the project.
d. Description of project.
e. Name, address, and phone number of the Owner, including Owner contact.
f. Name, address, and phone number of the Design Engineer, including contact.
g. Name, address, and phone number of the Construction Manager, including contact.
h. Contract amount.
   1. General Contractors may adjust past project values to 2014 dollars by adjusting using ENR’s 20-City Construction Cost Index.
   2. Year of specific project values shall be indicated with contract amount.
  i. Number and amount of Change Orders.
  j. Start date, original contract completion date, extended contract completion date, and actual completion date of the Project.

B. Construction Superintendent Experience:

1. Provide name, resume, and qualifications of two or more potential Construction Superintendent(s) that are currently employed by the Contractor and have managed projects of a similar type, complexity, and value.
2. This position is intended to describe the senior on-site representative managing the project for the General Contractor.

* * * * *
SECTION 4

BASIS OF DETERMINATION

4.1 GENERAL

The determination of prequalified Contractors will be based on an evaluation of the Prequalification Submittal and information gathered by Regional San from the references of related projects. See Appendix B for scoring criteria. The categories that will be evaluated under the Basis of Determination are responsiveness and capability.

4.2 RESPONSIVENESS

Before evaluation of the Contractor’s capability, the responsiveness of the Contractor will be assessed. The assessment of responsiveness will determine if adequate information or the minimum prerequisites have been submitted to permit an evaluation under the Basis of Determination. A Prequalification Submittal will be rejected as nonresponsive for lack of adequate information due to incompleteness, illegibility, or disregard of the requested format.

4.3 CAPABILITY

The determination by Regional San of a Contractor’s capability shall assess the Contractor’s ability, capacity, and skill to construct the subject project in a timely and satisfactory manner, based on the responses to the questions in Section 3 and the scoring system described in Appendix B.
APPENDIX A

PROJECT DESCRIPTION
Appendix A
Project Description

Sacramento Regional Wastewater Treatment Plant
Flow Equalization

EchoWater Project
SRCSD Contract No. 4205
Carollo Project No. 9300A10

August 2014
1.0 Introduction

The Flow Equalization Project (FEQ) includes modifications and improvements to the Emergency Storage Basins (ESB) at the SRWTP and is one of the required components of the EchoWater Project.

The ESBs are currently used to provide SRWTP with the ability to store partially and/or fully treated wastewater under a variety of circumstances, including planned and unplanned shutdowns of treatment processes, high flow events, and for permit compliance regarding temperature and dilution requirements. The new permit continues the dilution and temperature requirements from previous permits. The proposed improvements and modifications of the FEQ are based on continued reliance on the ESBs to provide operational flexibility and meet permit requirements. Figure 1 provides an aerial overview of the existing facilities and project site.

2.0 Purpose and Objectives

The improvements and modifications that are part of FEQ are based on several key EchoWater Project objectives. These objectives formed the basis of design for FEQ and include the following:

- Providing additional ESB storage capacity
- Increasing flexibility for storing and separating untreated and treated wastewater in the ESBs
- Improving ESBs washdown effectiveness and efficiency
- Increasing operational flexibility to facilitate future effluent cooling and plant maintenance
- Providing pre-excavation for the EchoWater Biological Nutrient Removal Project (BNR) to help accelerate the construction schedule
3.0 FEQ Modifications and Improvements

FEQ includes the following proposed improvements:

- Deepening ESB-B and ESB-C to increase storage volume by approximately 115 million gallons (MG)
  - Excavate ~656,500 cubic yards (CY) of soil over ~70 acres
- Subdividing ESB-C into three sub-basins – ESB-C1, -C2, and -C3
  - Construct ~62,500 CY of levees
- Lining ESB-B, -C1, -C2, and -C3 floors with Roller Compacted Concrete (RCC)
  - Place ~65,000 CY of 6 to 9-inch thick RCC
- Lining ESB-B, -C1, -C2, and -C3 slopes with shotcrete
  - Place ~14,250 CY of reinforced 6-inch thick shotcrete
- Installation of a new ESB washdown system for ESB-A, -B, -C1, -C2, and -C3
- Installation of a new 8,000 million gallon per day (mgd) Washdown Pumping Station to supply wash water for the new ESB washdown system (EWS)
- Installation of new 84-inch final effluent (FE) piping and associated gates
  - ~2,700 linear feet of 84” cement mortar lined and coated steel pipe
- Installation of new ESB drain piping (48-inch) to allow each ESB-B, -C1, -C2, and -C3 to drain back to the City Interceptor
- Installation of new 84-inch cement mortar lined and coated steel pipe to interconnect the ESBs
- Modifications to the existing spillway between ESB-C3 and ESB-D
- Demolition and relocation of the existing ESB Emergency Overflow Spillway
- Installation of a new underdrain system and associated 5.5 mgd pumping station
- Installation of new 12-kV ductbank and backbone signal ductbank
- Electrical and Instrumentation improvements for the facilities
- Relocation or installation of miscellaneous pipelines
- BNR mass excavation
  - Excavate ~615,000 CY of soil over ~20 acres
- Modification to ESB-A
  - ~1,270 CY of cast in place concrete
- Installation of a new storm drain system and associated 12 mgd pumping station
- Installation of other miscellaneous facilities and utilities

### 4.0 Regulatory Requirements

A draft version of the EIR is available for review. The primary impact to FEQ is the potential for nesting raptors in the trees located north of the ESBs. A minimum 500 foot buffer zone is required during the nesting season if raptors are present. This may constrain work activities during the nesting season for certain areas of the project.

Additional permits that are specific to the FEQ are summarized in Table 1.

<table>
<thead>
<tr>
<th>Agency</th>
<th>Permit</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Division of Safety of Dams</td>
<td>Permit for Construction</td>
<td>District</td>
</tr>
<tr>
<td>Central Valley Flood Protection Board (CVFPB) and U.S. Army Corps of Engineers (USACE)¹</td>
<td>Permit for Construction</td>
<td>District</td>
</tr>
<tr>
<td>Cosumnes Community Services District Fire Department</td>
<td>Case by case basis</td>
<td>District</td>
</tr>
<tr>
<td>Sacramento Metropolitan Air Quality Management District</td>
<td>Roller Compacted Concrete Pugmill</td>
<td>Contractor</td>
</tr>
</tbody>
</table>

¹ USACE reviews are coordinated through CVFPB.

### 5.0 Implementation

FEQ will be one of the first EchoWater projects to begin construction as part of the overall program. FEQ will be coordinated and aligned with other EchoWater projects to help facilitate successful implementation of the overall program. Bidding of the project is scheduled to commence on December 11, 2014, with an anticipated bid opening on February 5, 2015.

The notice to proceed is anticipated on March 11, 2015. Project completion is anticipated to occur in February 2018, with closeout ending in April 2018.

### 6.0 Cost Estimate

The current total estimated construction cost for FEQ is $158,000,000 as of the 60% level of design completion.

Prospective General Contractors shall provide documentation that they have a bonding capacity of the current estimated construction cost of $158 million.

Prospective Subcontractors are only required to submit the bonding capacity as outlined in the appropriate Subcontractor prequalification packet.
APPENDIX B

CONTRACTOR PREQUALIFICATION SCORING
APPENDIX B

CONTRACTOR PREQUALIFICATION SCORING

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.

Not all questions in the questionnaire are scorable; some questions simply ask for information about the contractor firm’s structure, officers and history. This Appendix 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 three large categories referred to above.

For Part II Sections A and B, “History of the business and organizational performance,” a passing score of 57 is required (of a maximum score of 76 on this portion of the questionnaire).

For Part II Sections C and D, Compliance with occupational safety and health laws, workers’ compensation and other labor legislation a passing score of 38 is required (of a maximum score of 53 points on this portion of the questionnaire).

For Part III, Recent Construction Projects Completed, a minimum of three projects meeting the criteria listed in question 39 must be presented.

Questions about History of the Business and Organizational Performance
(16 questions)

1. How many years has your organization been in business 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
2. Is your firm currently the debtor in a bankruptcy case?

☐ Yes ☐ No

“No” = 3 points “Yes” = 0 points

3. Was your firm in bankruptcy any time during the last 5 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

4. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last 5 years?

☐ Yes ☐ No

“No” = 5 points “Yes” = 0 points

5. At any time in the last 5 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

6. In the last 5 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?

☐ Yes ☐ No

“No” = 5 points “Yes” = 0 points
7. In the last 5 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.

8. In the past 5 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 3 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 3 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.

9. In the past 5 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 3 years were 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 3 years were 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.

10. At any time during the past 5 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

11. In the last 5 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.

12. 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

13. 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
14. 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

15. If your firm was required to pay a premium of more than one percent for a performance and payment bond on any project(s) on which your firm worked at any time during the last 3 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 percent  
3 points if the rate was no higher than 1.10 per cent.  
0 points for any other answer.

16. During the last 5 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

Questions about compliance with safety, workers compensation, prevailing wage and apprenticeship laws.  
(11 questions)

17. 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 5 years?

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

☐ Yes ☐ No

If the firm’s average gross revenues for the last 3 years were 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 3 years were 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. Has the federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past 5 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 3 years were 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 3 years were 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. Has the EPA or any Air Quality Management Agency 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 5 years?

NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

If the firm’s average gross revenues for the last 3 years were 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.
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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.

20. 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

21. List your firm’s Experience Modification Rate (EMR) for each of the past 3 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 3 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

22. Within the last 5 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.
23. Has there been more than one occasion during the last 5 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 3 years were 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 3 years were 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.

24. During the last 5 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 3 years were 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 3 years were 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.
25. 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 the Agency.

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

26. 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 3 years in each apprenticeship and the number of persons who, during the past 3 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.

27. At any time during the last 5 years, has your firm been found to have violated any provision of State apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

□ 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 3 years were 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 3 years were 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.

PART III. RECENT CONSTRUCTION PROJECTS COMPLETED

39. This part will be scored as pass/fail based on the contractor’s list of recently completed projects, or current on-going projects, meeting the criteria listed in question 39.