



Request for Prequalification

General Contractor

(Revision #1)

For

***ECHOWATER PROJECT
TERTIARY TREATMENT FACILITIES (TTF)
CONTRACT 4283***



August 2017

(Rev. 1 - 8/22/2017)

**Sacramento Regional County Sanitation District
Request for Contractor Prequalification
EchoWater Project
Tertiary Treatment Facilities (TTF)**

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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 *Tertiary Treatment Facilities (TTF)* 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.

Copies of the Request for Prequalification for General Contractors will be issued and posted on the Regional San website at <http://www.regionalsan.com/echowater-project-opportunities>. Responses to contractor questions and any addenda to the Request for Prequalification will also be posted to the Regional San website above.

The pre-qualification packages should be submitted under seal and marked “CONFIDENTIAL” by 3:00 PM, local prevailing time, on September 8 **September 22, 2017** 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, the contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in an 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.

The project will 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 anticipated schedule for contractor prequalification is summarized as follows:

Milestone	Date
Contractor Submits Prequalification Package	September 8 22 , 2017
Regional San Evaluation	(10 Working Days)
Contractor Notifications	(1 Working Day)
Contractor Appeals Period	(5 Working Days)
Appeal Hearing and Response	(15 Working Days)
Advertise for Bids (tentative)	January 31, 2018

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

* * * * *

NOTICE: REGIONAL SAN WILL PREQUALIFY SEPARATELY ELECTRICAL SUBCONTRACTORS FOR THIS PROJECT. CONTRACTORS PREQUALIFYING UNDER THIS PREQUALIFICATION DOCUMENT SHALL USE A PREQUALIFIED ELECTRICAL SUBCONTRACTOR WHEN SUBMITTING BIDS FOR THE TERTIARY TREATMENT FACILITIES PROJECT.

ANY PROSPECTIVE GENERAL CONTRACTOR THAT DESIRES TO PERFORM THE ELECTRICAL PORTION OF THE WORK WITH ITS OWN FORCES MUST SEPARATELY PREQUALIFY FOR THAT PORTION OF THE WORK.

* * * * *

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

Attn: Ron Perkins, PMO CM Lead
EchoWater Project
SRWTP Administration Building
8521 Laguna Station Road
Elk Grove, CA 95758
TTF@sacsewer.com

- 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 *Tertiary Treatment Facilities – 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 8 22, 2017.**

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, four (4) copies, and one digital (PDF) on CD/DVD or USB flash drive, 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 Tertiary Treatment Facilities 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 Ron Perkins, PMO CM Lead a written request via email for an interpretation or correction, (TTF@sacsewer.com). Telephone inquiries will not be responded to. 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

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 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.

Regional San reserves the right to waive minor irregularities and omissions in the information contained in the pre-qualification application submitted, and to make all final determinations.

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

Where a timely and completed application results in a rating below that necessary to prequalify, 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 prequalification 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. 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.

The list of prequalified General Contractors will be posted to the Regional San website at <http://www.regionalsan.com/echowater-project-opportunities>. General Contractors opposing any other firms on the prequalified list, (based on potential for bid collusion only), shall deliver written notice to Regional San within 5 business days of posting. Regional San will establish a Review Panel and conduct a hearing in the same process as identified above for the appeals process. Within 5 business days of the conclusion of the hearing, the Review Panel will render its decision.

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 above for appealing a pre-qualification rating.

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 Tertiary Treatment Facilities 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 electrical subcontractors (separately, not as part of this prequalification document) and only prequalified electrical subcontractors shall be used by prequalified General Contractors to bid and construct the Tertiary Treatment Facilities Project. At time of bidding, the bidders will be provided a list of prequalified subcontractors, and a prequalified General Contractor not using a prequalified electrical 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.

2.3 CONFLICT OF INTEREST

The EchoWater Project Conflict of Interest Guidelines identify that the project designer is precluded from proposing as the construction contractor on the same or another project. The designers for the Tertiary Treatment Project are Carollo and AECOM. General Contractors affiliated with the designers will not be prequalified.

2.4 PROHIBITIONS AGAINST INTEREST IN MORE THAN ONE BID AND BIDDER COLLUSION

A company, corporation or other entity is not permitted to submit more than one bid or have a financial interest in more than one bid.

If a company, corporation or other entity seeking to prequalify is a direct or indirect parent or subsidiary, or otherwise affiliated with another company, corporation or other entity also seeking to prequalify, neither is eligible to prequalify unless they prove to the satisfaction of Regional San that they satisfy the foregoing requirements by operating separately and independently from each other and that they do not currently, and will not in the future, have any direct interest in the other's bid or performance of the contract. To so prove, each affiliated company, corporation or other entity seeking to prequalify must provide the information required under Part II.B.3-4 and submit such additional documentation as is sufficient to prove to the satisfaction of Regional San that the foregoing requirements are satisfied. Affiliated companies not providing enough proof will be notified and will be allowed to rescind prequalification submittal(s) to allow one of the affiliated firms to prequalify.

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: TERTIARY TREATMENT FACILITIES PROJECT – CONTRACT 4283
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/Revisions:

The undersigned acknowledges receipt of the following Addenda Nos./Revision: _____

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.”¹

Contractor will be immediately disqualified if the answer to any of questions 6, 7, 8, 9 or 10 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 general liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$4,000,000 annual aggregate and an automobile liability policy with a policy limit of at least \$1,000,000 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?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.

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, 9 or 10 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

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.

10. Is your Workers Compensation Experience Modification Rate (EMR) for the current year greater than or equal to 1.50?

Yes No

NOTE: Contractors of all tiers with an EMR of 1.25 or greater will have to comply with specific requirements in the EchoWater Safety Manual. In no instance shall a contractor or any listed subcontractor with an EMR of 1.50 or greater at time of bid, or in cases of non-listed subcontractors, at the time of subcontract execution, be permitted to work on the project. A bid submitted by a prime contractor or any listed subcontractor with an EMR that is greater than or equal to 1.50 will be deemed not responsible, even if the contractor/subcontractor has been prequalified.

**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

- 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.

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 10 percent or more of the firm.

Name	Position	Years with Co.	% Ownership

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.

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. 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.

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

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 company, corporation or other entity seeking to prequalify a parent, subsidiary, in a holding company relationship, or otherwise an affiliate of any other construction company, corporation or other entity?

NOTE: All bidders will be required to submit non-collusion affidavits.

Yes No

If “yes,” on a separate signed page, please provide a complete corporate tree showing percentage of ownership. In addition, if any such affiliated company, corporation, or other entity is seeking to prequalify as well, identify such entity and submit proof satisfactory to Regional San that the requirements of Section 2.4 are satisfied. .

4. Are any of your directors, officers, partners or owners also an officer, director, partner or owner of another construction company, corporation or other entity?

Yes No

If “yes,” on a separate signed page, please identify such person(s) and the other construction company involved. In addition, if such other construction company is seeking to prequalify as well, submit proof satisfactory to Regional San that the requirements of Section 2.4 are satisfied.

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. Please provide documentation of your Workers Compensation Experience Modification Rate (EMR) for the current year.

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

Current year EMR: _____(provide documentation from insurance carrier)

If your EMR is 1.00 or higher you may, if you wish, attach a letter of explanation.

NOTE: Contractors of all tiers with an EMR of 1.25 or greater will have to comply with specific requirements in the EchoWater Safety Manual. In no instance shall a contractor or any listed subcontractor with an EMR of 1.50 or higher greater at time of bid, or in cases of non-listed subcontractors, at the time of subcontract execution, be permitted to work on the project. A bid submitted by a prime contractor's or any listed subcontractor's with an EMR that is greater than or equal to 1.50 will be deemed not responsible, even if the contractor/subcontractor has been prequalified.

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 TTF Project (with an estimated construction value of about \$350 million) requires, at a minimum, that the General Contractor has the following experience:

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

List a minimum of three projects of similar type, complexity, and comparable value (\$100,000,000 or more) which the Contractor has completed in the last ~~fifteen (15)~~ **twenty (20)** years. At least one project listed shall have a value greater than \$150,000,000. Projects of a similar type and complexity shall include construction of water or wastewater treatment plants (including treatment processes and pumping) that include all of the features below:

- Construction of cast-in-place reinforced concrete hydraulic structures with concrete quantities in excess of 5,000 cubic yards for combined hydraulic and non-hydraulic concrete;
- Construction of major mechanical, electrical, and instrumentation equipment including 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 2017 dollars by 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.

* * * * *

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

Contractors must demonstrate they do not have a conflict of interest in this project, nor a direct relationship with another prequalifying firm.

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

SACRAMENTO REGIONAL WASTEWATER TREATMENT PLANT TERTIARY TREATMENT FACILITIES (TTF) PROJECT ECHOWATER PROJECT

Introduction

The Central Valley Regional Water Quality Control Board adopted new waste discharge requirements for the Sacramento Regional Wastewater Treatment Plant (SRWTP) on December 9, 2010. To comply with the permit, the Sacramento Regional County Sanitation District (SRCSD) has established the EchoWater Project to upgrade the SRWTP.

One essential component of the EchoWater Project is the Tertiary Treatment Facilities (TTF) Project, which will use tertiary filtration and disinfection to treat secondary effluent (SE) from a new Biological Nutrient Removal (BNR) facility being constructed primarily to comply with permit effluent limits for ammonia and nitrogen.

The TTF will consist of the following key elements:

- Filter Influent Pumping Station (FIPS) to pump SE to the Granular Media Filters (GMF) and Disinfection Contact Basins (DCB)
- Waste Filter Backwash (WFBW) handling system
- Chemical storage and feed systems for process enhancement and/or permit compliance, including metal salt coagulant (COAG), filter aid polymer (FAP), sodium hypochlorite solution (SCLS) feed, and sodium bisulfite (SBIS)
- DCB Miscellaneous Pumping Stations, including Low Pressure Reclaimed Water (WRLPS), High Pressure Reclaimed Water (WRHPS), Reclaimed Water Transfer (WRFTPS), and Tank Drain (TDPS)
- Effluent Observation Structure (EOS) for control of TTF final effluent (FE) water being conveyed to the Sacramento River for discharge, also location of dechlorination of FE and observation of effluent leaving the SRWTP
- Other key elements include a TTF Area Control Center (ACC) and other buildings; electrical infrastructure; additional yard drainage piping; and provisions for the future South County Agricultural Pumping Station (SCAPS) to deliver Title 22 water for agricultural, wetland, and/or groundwater injection

Design Drawings and Specifications

Carollo Engineers Inc. is the lead designer of the TTF project and will be responsible for the drawings and review of the construction associated with the Project. The bid documents will be distributed as one complete set of drawings and specifications that covers all elements of the project.

As of the date for this document, the design for the TTF project is between design submittal #2 and design submittal #3.

All references to drawings and specifications contained herein relate to the Design #2 submittal that can be accessed at the following Dropbox address:

<https://www.dropbox.com/sh/6o2m3o08tt49qp5/AAAzBiRO3EDHEg2CpxKtVjV5a?dl=0>

Tertiary Treatment Facilities (TTF)

Filter influent Pump Station (FIPS)

The main function of FIPS is to pump up to 343 MGD of SE from the Secondary Sedimentation Tanks (SSTs) to GMF. FIPS includes tie-ins to the existing SE channel, a drum screen, pump wet wells, discharge headers, and flow metering. All SE will be conveyed through FIPS to the GMF inlet structure.

Granular Media Filters (GMF)

The GMF includes the Seasonal Filter Diversion Structure (SFDS), chemical mixing (COAG, FAP, sodium hypochlorite), granular media filters, filter backwash system, and WFBW Equalization (EQ) Basins and pumps. GMF consists of dual media filters, using anthracite and sand media. Filtered effluent (FTE) will be mixed with disinfectant (sodium hypochlorite) at GMF and conveyed to DCB. During the wet weather winter period (November 1 through April 30), flows in excess of the required net filtration capacity of 217 MGD will be diverted around filtration using SFDS.

Waste Filter Backwash (WFBW)

Filters will be backwashed using FTE stored in two Filtered Backwash Water (FBW) Tanks. A FBW Pump Station and Filter Scour Air (FSA) Blowers are located above the FBW tanks. WFBW will flow from each filter directly into WFBW Basins. The Basins provide flow equalization before a WFBW PS will discharge the flow to a newly constructed manhole/air gap on the north side of the existing EOS. From this manhole, WFBW will be combined with DCB tank drainage and conveyed to an existing manhole connected to the existing Tank Drain (TD) line. This will allow the WFBW process stream to flow by gravity to the head of the plant.

Disinfection Contact Basins (DCB)

The DCB components consist of disinfection mixing, conveyance channels, large contact basins, various downstream PSs, conveyance channels, and dechlorination at a new dechlorination facility located at the new EOS. Unfiltered SE that is diverted by SFDS during winter high flow events will be blended with the FTE and disinfected through the DCB. The disinfection process will provide the required amount of chemicals, mixing, and

contact time to meet permit performance requirements before being conveyed to the existing effluent PS for discharge into the Sacramento River, or provided for use as reclaimed water.

Effluent Observation Structure (EOS)

The new EOS will control conveyance of SRWTP FE water to the Sacramento River for discharge, and will provide a location for observation and sampling of effluent leaving the plant. It will also be the primary location of dechlorination of FE.

DCB Miscellaneous Pumping Stations

Reclaimed water will supply a set of pump stations (WRLPS, WRHPS, and WRFTPS), which will distribute the water for miscellaneous uses throughout the plant. It will also be distributed to agricultural customers, wetlands, Laguna Phase 2, and possibly groundwater recharge as part of the future SCAPS project.

Chemical Storage Facilities

The TTF COAG and FAP chemical systems will be housed in a Chemical Building between the SSTs and DCB. The Chemical Building will contain an electrical room for motor control centers (MCCs) and electrical controls. A main pump room will house the chemical metering pumps, polymer blending units and controls, anionic polymer totes, and other support utilities. Alum/ACH tanks will be located adjacent to the cationic polymer tanks within a containment area adjacent to the Chemical Building. Tank fill stations will be provided at each containment location.

Secondary Settling Tank (SST) Coagulant Storage and Metering Facility

The SST COAG chemical storage and feed systems will be located outside north of the SSTs and west of the existing pure oxygen biological process. The COAG system will include chemical metering pumps, an unloading pump, and other support utilities. One tank fill stations will be provided.

Area Control Center Building (ACC) and Electrical Buildings

The ACC and Substation 75 Electrical Building will be centrally located to suit buildout conditions. Substation 75 will supply power to the WR PSs, DCB, ACC, and will satisfy other miscellaneous site loads. The Substation 79 Electrical Building, located west of the Chemical Building, will supply power to FIPS, GMF, the Chemical Building, SBIS, and will also satisfy other miscellaneous site loads.

Plant Computer Control System (PCCS)

The existing PCCS is a combination of an Emerson Process Management Ovation distributed process control system providing supervisory control and data acquisition (SCADA) related functions, and one or more Rockwell Automation/Allen-Bradley programmable logic controller(s) (PLCs) providing process area regulatory control. The new TTF PCCS networks will connect to and expand the existing PCCS fiber optic network using the same equipment as the existing system described above. The PCCS equipment will be located in ACC 75 Building and multiple Control System (CS) rooms located in the major TTF process areas. The ACC and each CS room will include a

dedicated UPS sized to provide power for all PCCS equipment and critical instrumentation.

In addition to the described facilities, space has been allocated and a concept layout provided for future facilities such as additional GMF and DCB capacity.

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 I **and 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, **Section C**, 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.

PART II: QUESTIONS ABOUT HISTORY OF THE BUSINESS AND ORGANIZATIONAL PERFORMANCE

(16 questions)

Part II, Section B

B. 6. 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

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

Yes No

“No” = 3 points “Yes” = 0 points

B. 8. 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

B. 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

“No” = 5 points “Yes” = 0 points

B. 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

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

B. 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

“No” = 5 points “Yes” = 0 points

B. 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

“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.

B. 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 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.

B. 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 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.*

- B. 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

*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*

- B. 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

*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.*

- B. 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

- B. 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

- B. 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

B. 25. 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.*

B. 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

“No” = 5 points “Yes” = 0 points

PART II, SECTION C: QUESTIONS ABOUT COMPLIANCE WITH SAFETY, WORKERS COMPENSATION, PREVAILING WAGE AND APPRENTICESHIP LAWS.

(11 questions)

C. 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 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.*

C. 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 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.*

C. 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 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.*

C. 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*

C. 32. Please provide documentation of your Workers Compensation Experience Modification Rate (EMR) for the current year.

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

Current year EMR: _____(provide documentation from insurance carrier)

If your EMR is 1.00 or higher, you may, if you wish, attach a letter of explanation.

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

NOTE: Contractors of all tiers with an EMR of 1.25 or greater will have to comply with specific requirements in the EchoWater Safety Manual. In no instance shall a contractor or any listed subcontractor with an EMR of 1.50 or higher greater at time of bid, or in cases of non-listed subcontractors, at the time of subcontract execution, be permitted to work on the project. A bid submitted by a prime contractor's or any listed subcontractor's with an EMR that is greater than or equal to 1.50 will be deemed not responsible, even if the contractor/subcontractor has been prequalified.

C. 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

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

C. 34. 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.*

C. 35. 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.*

C. 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 the Agency.

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

C. 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.

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 employer by your firm.

C. 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).

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.