General Contractors
PRE-QUALIFICATION SUBMITTAL PACKAGE
for
LA SIERRA AVENUE PIPELINE
SPECIFICATION NO. W-238A

BOARD OF DIRECTORS
Donald D. Galleano
S.R. Al Lopez
Thomas P. Evans
Brenda Dennstedt
Robert Stockton

GENERAL MANAGER
John Rossi, GM
Craig Miller, DGM
Jeff Sims, AGM/COO
Derek Kawaii, Director of Engineering

March 2016

Prepared by
ALBERT A. WEBB ASSOCIATES
3788 McCray Street
Riverside, California  92506
(951) 686-1070
WESTERN MUNICIPAL WATER DISTRICT
RIVERSIDE, CALIFORNIA

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REQUEST FOR STATEMENT OF QUALIFICATIONS

FOR
LA SIERRA AVENUE PIPELINE
SPECIFICATION NO. W-238A

NOTICE:

Notice is hereby given that Western Municipal Water District (“District”; “Owner”) has determined that any general contractor interested in receiving a bid proposal package for the proposed La Sierra Pipeline project must be pre-qualified by the District. It is therefore mandatory that any contractor who intends to submit a bid fully complete the pre-qualification submittal package, provide all documentation requested herein, and be approved by the District to be on the qualified General Contractor Bidders List.

Prospective contractors who intend to submit a prequalification package shall register as a “Plan Holder”. The Plan Holder list will be periodically updated and posted at [www.wmwd.com](http://www.wmwd.com). Only registered Plan Holders will be notified of addenda to these Pre-qualification documents. In order to submit a prequalification package, contractors are required to obtain an official hard copy of the Plans and Specifications from the District-sanctioned vendor and be registered as a Plan Holder.

No “Invitation to Bid” documents will be sent to or received from a contractor who has failed to comply with these requirements. If interested parties are in a joint venture, the pre-qualification submittal package needs to include both parties information.

Fully-completed “Statement of Qualifications” submittal packages must be received by the District no later than **4:00 p.m. on April 18, 2016**. This is the deadline for submittals.

Contractors may obtain a copy of the Pre-qualification Documents from the District-sanctioned vendor, Albert A. Webb Associates located at 3788 McCray St. Riverside, CA 92506, Tel: 951-686-1070 at no cost. A charge of fifteen dollars ($15) will be required of any prospective contractor who requests that the Pre-qualification Documents be mailed within California (costs for out-of-state mailings will be higher).

All potential contractors seeking to be pre-qualified must provide evidence that they are registered with the Department of Industrial Relations.

The District will use the completed “Statement of Qualifications” submittal package as the basis of determining a general contractor’s eligibility to submit a bid proposal for the La Sierra Pipeline project. A committee will review and analyze the information submitted and make a recommendation on the selection as to general contractor’s quality, fitness, capacity and experience to satisfactorily perform the proposed work. The District reserves the right to make all final determinations as to final selections of prospective contractors for the proposed project.
CONTRACT PERSON/ADDRESS:

Contractors having any questions or Requests for Information regarding the “Statement of Qualifications” submittal package or process may direct them, in writing, to Brad Sackett, with a copy to Siming Zhang, as listed below by no later than **4:00 p.m. on April 12, 2016.**

Brad Sackett, P.E.                                          cc: Siming Zhang, P.E.
Email:  brad.sackett@webbassociates.com                  siming.zhang@webbassociates.com

Albert A. Webb Associates
3788 McCray Street
Riverside, CA  92506
Phone: 951-686-1070

SITE VISIT:
A **mandatory** project meeting/site visit will be conducted by The District for interested contractors on **March 29, 2016** and will begin at **10:00 a.m.** at the District’s office.

PRE-QUALIFICATION SUBMITTAL PACKAGE:

The pre-qualification packages must be submitted by the date and time stated herein to:

WESTERN MUNICIPAL WATER DISTRICT
14205 Meridian Parkway
Riverside, CA

Attention:  Mr. Derek Kawaii, P.E., Director of Engineering

Submit one (1) original and two (2) additional copies of Statement of Qualifications to the above address. The pre-qualification package must be sealed and marked “CONFIDENTIAL.”

SUMMARY OF PROJECT:

The proposed La Sierra Pipeline project consists of approximately 20,000 LF of 30-inch diameter welded steel potable water pipeline and appurtenances; with pump discharge pipeline pressure classes ranging between Class 250 psi to Class 500 psi. A section of the pipeline (approximately 1000 LF) will be Class 150, 24-inch diameter steel suction pipe between the ADS (Arlington Desalter; including existing concrete reservoir) and the proposed separate Sterling Pump Station and Reservoir (by others) to which the discharge pipeline will connect. Water will be delivered in the proposed La Sierra Pipeline from the proposed Sterling Pump Station to the District’s retail higher pressure zone near La Sierra Ave. and El Sobrante Road via an alignment mostly on La Sierra Avenue. Portions of the pump discharge pipe alignment at the northerly end will traverse within Riverside County Flood Control District right-of-way (Refer to **Appendix A** for location map and pipeline alignment).
Other associated project scope items will include:

- Construction of a flow control valve facility
- Bore casing installation under B.N.S.F. Railroad and Storm Channel
- Storm water channel crossings
- Potholing
- Traffic Control
- Pavement Removal/Replacement
- Possible rock excavation
- Air valve and blow-off installations
- Triple-Offset BFV mainline valve installations
- Pipeline flushing, hydro-static testing and disinfection
- Connection(s) to existing water system
- Cathodic test stations
- Demolition of unused pump station

It is noted that the La Sierra Pipeline will be a State Revolving Fund (SRF) loan funded project. Accordingly, the Davis-Bacon Act, Disadvantaged Business Enterprise (DBE) regulations, American Iron and Steel Institute (AISI) and related regulations will apply.

AVAILABILITY OF DOCUMENTATION:

The pipeline design is currently at the 75% completion level. Appendix B references that a digital copy of these plans will be made available to prospective General Contractors. The scoring instructions, for each category for pre-qualification is included in Appendix C. The Geotechnical Investigation Report is referenced in Appendix D and a digital copy will also be made available to prospective contractors desiring to submit their “Statement of Qualifications”. Appendix E includes excerpts from the project engineering Pre-Design Report.
PRE-QUALIFICATION PROCEDURE

A. PURPOSE:

1. The purpose of the Pre-qualification Procedure is to provide Western Municipal Water District (Owner; District) with a mechanism to evaluate and determine which general contractors are qualified to participate in this project; and provide a water pipeline work contract bid proposal directly to the Owner.

2. General contractors are required to comply with the Pre-qualification Procedure.

3. Only those general contractors who have duly complied with the Pre-qualification Procedure and have been determined to be qualified will be eligible to receive and submit a bid on the project at a later date.

B. SUBMITTALS:

1. General contractors wishing to Pre-qualify to Bid shall submit the following:
   a. General contractor’s Application to Pre-qualify to Bid.
   b. General contractor’s Pre-qualification Statement.
   c. General contractor Questionnaire.
   d. Attachments as necessary to provide supporting information required by the general contractor’s Qualification Statement and/or Questionnaire.
   e. On a separate sheet(s), provide your plan, methodology and sequencing for performing the proposed work (be as specific as possible). Include and Address: Approach to construction items of proposed work listed herein, including work to be provided by a sub-contractor. See scoring instructions (Page SI-14) for additional requirements.
   f. On a separate sheet(s), provide a list of all current employees and their job classification for those employees which would have involvement on the proposed project; and provide an organizational chart and indentify the key personnel that are anticipated to comprise the management team of this project. Provide resumes for key personnel along with their experience.
   g. On a separate sheet(s), provide a list of all equipment owned by the contractor and available for use on this project.
   h. On a separate sheet(s), provide a list of all Responsible Managing employees (RME) or Responsible Managing Officer (RMO).
   i. On a separate sheet(s), provide a complete listing of all projects of a similar nature to the proposed project together with a statement regarding total number of years of experience your company has had with similar projects.

2. Three (3) copies of the Application and all supporting data shall be submitted.

3. Each copy of the Pre-qualification Statement and the Application shall be signed by an officer of the firm.
4. Applications shall be submitted prior to the Deadline for Submittals as described above.

5. Applications that are incomplete or illegible, for any reason, may be rejected at the discretion of the Owner. Determination of the completeness of the applications will be at the sole discretion of the Owner.

6. The Owner reserves the right to waive any informality and/or request additional information from the general contractor, at its discretion.

7. By submitting an Application, the general contractor agrees that the Owner shall be free to make inquiry(ies) it deems necessary to ascertain the qualification(s) of the general contractor and/or the accuracy of statements made by the general contractor as to its qualification(s).

C. ADDENDA

1. Any clarifications, alterations, or changes made shall not be valid unless included in an Addendum issued by the Owner.

2. Addenda will be mailed or delivered to those general contractors who are properly registered as “plan-holders” and who have received the Pre-qualify to Bid Package from the Owner.

3. Each general contractor shall ascertain from the Owner prior to submitting their Application that they have received all Addenda issued and they shall acknowledge their receipt in the Application.

4. The deadline for submittal questions and requests for clarification to the Owner is April 12, 2016.

D. EVALUATION

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

2. The information contained in the Application will be evaluated by the Owner. Information concerning the Pre-qualification Procedure for the Project should be directed to the Owner.

3. Perception of the general contractor’s qualification to perform will be based on the evaluation of the general contractor’s:

   a. Financial capabilities
b. Resources
   1. Equipment
   2. Key staff/Personnel experience
      - Field Superintendent
      - Office Project Manager

c. Past Performance
   1. Past experience with the Owner (if applicable)
   2. Past experience with other similar Agencies.
   3. Timely completion of similar past projects.

d. Plan, methodology and sequencing for performing work on this project; considering there are several critical aspects to the project.

e. Other Information
   1. Available from the application.
   2. Available from research and verification of the information.
   3. Available from sources outside the scope of the Application.
   5. Statement of experience (10 years minimum)

4. Additional information or clarification may be requested after the Application has been submitted. Such requests shall be responded to by general contractors within (3) calendar days after receipt of such requests.

5. It is intended that the information contained in the Application will be researched and verified.

6. Information found to be materially incorrect or misleading will be sufficient cause not to Pre-qualify the general contractor.

7. Reasons for not pre-qualifying a general contractor may include, but not be limited to, the following:

   a. The general contractor does not have the demonstrated experience to perform the contract.
   b. The general contractor (or any officer, director, or owner thereof) has had judgments entered against him within the past ten years for breach of contract.
   c. The general contractor has been in substantial non-compliance with the terms and conditions of prior (or comparable) contracts without good cause.
   d. The general contractor (or any officer, director, owner, project manager, or chief financial officer thereof) has been convicted within the last ten years of a crime related to construction or contracting.
e. The general contractor (or any officer, director, or owner thereof) is currently debarred pursuant to an established debarment procedure from bidding or contracting by any public body, agency of another state, or agency of the Federal government.

f. The general contractor fails to provide, in a timely manner, any information requested by the District relevant to 7a. through 7e. (above).

g. The general contractor failing to meet the minimum points per the scoring evaluation provided in this pre-qualification as set forth herein

E. NOTIFICATION OF ELIGIBILITY FOR BIDDING

1. All general contractors submitting an Application will be notified of Owner’s determination, normally within thirty (30) days from the Deadline for Submittals.

2. In the event that a general contractor is denied pre-qualification, a written notification shall state the reasons for such denial of pre-qualification and the factual basis of such reasons.

3. Determinations by the Owner will be final and conclusive. Refer to section G below for “Appeal Procedure”.

4. A list of general contractors determined to be Pre-qualified to Bid will be made available in the Bid Documents.

F. SELECTION OF PRE-QUALIFIED GENERAL CONTRACTORS

1. Selection for eligibility to provide bid proposals to the Owner shall only be made from packages submitted by pre-qualified, responsive and responsible entities who sufficiently meet the terms, conditions and specifications contained in the submittal package.

2. Owner reserves the right to conduct interviews if deemed necessary. However, under all circumstances and all statements to the contrary notwithstanding, Owner reserves as its right, the right to determine the qualified general contractor(s) in accordance with the best interest of the Owner.

G. APPEAL PROCEDURE

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

Derek Kawaii, P.E., Director of Engineering, WMWD
Jimmy Chen, P.E., Project Manager, WMWD
Brad Sackett, P.E., Senior Engineer, AAWA
David M. Algranti, P.E., Chief Design Engineer, AAWA
Siming Zhang, P.E., Senior Engineer, AAWA
The sole issue before the Appeals Panel, in any appeal requested by a non-prequalified contractor, shall be the scoring of the contractor. The decision of the Appeals Panel shall be the Owner's final administrative decision.

(a) Where a complete and timely submitted application results in a rating below the necessary to pre-qualify, an appeal can be made. An appeal is begun by the contractor delivering written notice to the Owner via certified mail of its appeal of the decision with respect to its pre-qualification rating, no later than five (5) business days after the date of the Owner's notice of the negative pre-qualification determination. Without a timely appeal, the contractor waives any and all rights to challenge the decision of the Owner, whether by administrative process, judicial process or any other legal process or proceeding.

(b) If the contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than seven (7) business days after the Owner's receipt of the notice of appeal, and no later than seven (7) business days prior to the last date for the receipt of bids on the Project. The hearing shall be an informal process conducted by the Appeals Panel to whom the Owner's governing board has delegated responsibility to hear such appeals. At or prior to the hearing, the contractor will be advised of the basis for the Owner's pre-qualification determination in writing. The contractor will be given the opportunity to present information and present reasons in opposition to the rating. Within one day after the conclusion of the hearing, the Appeals Panel will render its decision. It is the intention of the Owner that the date for the submission and opening of bids will not be delayed or postponed to allow for completion of an appeal process.

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

END OF PRE-QUALIFICATION PROCEDURE
GENERAL CONTRACTOR’S APPLICATION TO PRE-QUALIFY TO BID

Mr. Derek Kawaii, P.E. Director of Engineering
Western Municipal Water District
14205 Meridian Way
Riverside, CA 92508

RE: La Sierra Avenue Pipeline, Specification No. W-238A
Application to Pre-qualify to Bid as General Contractor

Gentlemen:

The undersigned general contractor, being familiar with the project descriptions outlined herein, hereby submits to be pre-qualified to Bid the La Sierra Avenue Pipeline Project in accordance with the Pre-qualify to Bid Package.

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

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

Sincerely,

__________________________________
Printed Name

__________________________________
Signature

__________________________________
Title

__________________________________
Date

END OF GENERAL CONTRACTOR’S APPLICATION TO PRE-QUALIFY TO BID
GENERAL CONTRACTOR’S PRE-QUALIFICATION STATEMENT

CONTACT INFORMATION:

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

Contact Person: ____________________________________________________________________________

Address: __________________________________________________________________________________

Phone: ______________________________ Fax: ______________________________

If firm is a sole proprietor or partnership:

Owner(s) of Company: ____________________________________________________________

Contractor’s License Number(s):
(Class A minimum requirement)
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________

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

____________________________ ______________________ ____________________
Date      Name

END OF GENERAL CONTRACTOR’S PRE-QUALIFICATION STATEMENT
PRE-QUALIFICATION QUESTIONNAIRE

PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

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

Contractor will be immediately disqualified if the answer to any of questions 6, 7, 8 or 9 is “yes.”¹ 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. Insurance:
   a. Firm’s Insurer has a Financial and size rating in accordance with the most current A.M. Best rating system of at least an “A”, VII rating.
   b. Contractor has commercial general liability insurance with a policy limit of at least $5,000,000 per occurrence for bodily injury, personal injury and property damage and $10,000,000 general aggregate limit.
   c. Contractor has automobile liability insurance (any auto) with a policy limit of at least $5,000,000 per accident for bodily injury and property damage.

Response to Questions 2a thru 2c: ☐ 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. with a limit of no less than $1,000,000 per accident for bodily injury or disease.
   ☐ 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?² 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 for reasons explained in footnote 2.

² 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 percent of the qualifying amount provided in section 14837(d)(1).” As of January 1, 2001, the qualifying amount is $10 million, and 25 percent of that amount, therefore, is $2.5 million. This amount remains the same in effect as of January 2016.

³ The financial information will remain confidential, as provided by law, and will not be released, shared, copied or provided in any form unless such disclosure is required by court order or authorized in writing by the party who has provided the information.
5. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states: (a) that your current bonding capacity is sufficient for the project for which you seek pre-qualification if you are seeking pre-qualification for a single project; or (if you are seeking pre-qualification valid for a year) (b) your current available bonding capacity?  
☐ Yes ☐ No  
**NOTE:** Notarized statement must be from the surety company, not an agent or broker.

6. Has your contractor’s license been revoked at any time in the last five years?  
☐ Yes ☐ No

7. Has a surety firm completed a contract on your behalf, or paid for completion because your firm was default terminated by the project owner within the last five (5) years?  
☐ Yes ☐ No

8. At the time of submitting this pre-qualification form, is your firm ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?  
☐ Yes ☐ No  
If the answer is “Yes,” state the beginning and ending dates of the period of debarment:

9. At any time during the last five years, has your firm, or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?  
☐ Yes ☐ No

---

1 An additional notarized statement from the surety may be requested by Public Entity at the time of submission of a bid, if this pre-qualification package is submitted more than 60 days prior to submission of the bid.

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.
**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 per cent 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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1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

**NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent 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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**For Firms That Are Partnerships:**

1a. Date of formation: 
1b. Under the laws of what state: 
1c. Provide all the following information for each partner who owns ten per cent 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 five years. **NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.**

<table>
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<th>Dates of Person’s Participation with Company</th>
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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 five years. **NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.**

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

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

<table>
<thead>
<tr>
<th>Name of firm</th>
<th>% Ownership of Joint Venture</th>
</tr>
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<tbody>
<tr>
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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 three years?
   
   NOTE: A corporation whose shares are publicly traded is not required to answer this question.
   
   □ Yes □ No
   If “yes,” explain on a separate signed page.

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?
   
   NOTE: Include information about other firms if one firm owns 50 per cent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.
   
   □ Yes □ No
   If “yes,” explain on a separate signed page.

4. Are any corporate officers, partners or owners connected to any other construction firms.
   
   NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.
   
   □ Yes □ No
   If “yes,” explain on a separate signed page.

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

   ___________________  ___________________  ___________________

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

7. Is your firm currently the debtor in a bankruptcy case?
   
   □ Yes □ No
   If “yes,” please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

8. Was your firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above)
   
   □ Yes □ No
   If “yes,” please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court’s discharge order, or of any other document that ended the case, if no discharge order was issued.

C. Licenses

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

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

____________________________________________________________________

11. Has your firm changed names or license number in the past five years?
   ☐ Yes ☐ No
   If “yes,” explain on a separate signed page, including the reason for the change.

12. Has any owner, partner or (for corporations:) officer of your firm operated a construction firm under any other name in the last five years?
   ☐ Yes ☐ No
   If “yes,” explain on a separate signed page, including the reason for the change.

13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?
   ☐ Yes ☐ No
   If “yes,” please explain on a separate signed sheet.

D. Disputes

14. At any time in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?
   ☐ Yes ☐ No
   If yes, explain on a separate signed page, identifying all such projects by owner, owner’s address, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

15. In the last five years has your firm, or any firm with which any of your company’s owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?
   NOTE: “Associated with” refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 14 on this form (page 12 & 13).
   ☐ Yes ☐ No
   If “yes,” explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.
16. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?  
☐ Yes ☐ No  
If “yes,” explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

* * * * *

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

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

☐ Yes ☐ No  
If “yes,” on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

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

☐ Yes ☐ No  
If “yes,” on separate signed sheets of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

* * * * *

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

☐ Yes ☐ No  
If “yes,” explain on a separate signed page the amount of each such claim, the name and telephone number of the claimant, the date of the claim, the grounds for the claim, the present status of the claim, the date of resolution of such claim if resolved, the method by which such was resolved if resolved, the nature of the resolution and the amount, if any, at which the claim was resolved.
20. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?
☐ Yes  ☐ No
If “yes,” explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

E. Criminal Matters and Related Civil Suits

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

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

23. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?
☐ Yes  ☐ No
If “yes,” identify on a separate signed page the person or persons convicted, the court (the county if a state court, the Owner or location of the federal court), the year and the criminal conduct.

F. Bonding

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

Name of bonding company/surety: __________________________________________

Name of surety agent, address and telephone number:

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

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

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

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

☐ Yes ☐ No

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

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

28. Has CAL OSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

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

☐ Yes ☐ No

If “yes,” attached a separate signed page describing the citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, the amount of penalty paid, if any. If the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

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

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

☐ Yes ☐ No

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

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

☐ Yes  ☐ No

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

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

________________________________________________________

________________________________________________________

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

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

Current year: ________________

Previous year: ________________

Year prior to previous year: ________________

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

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

☐ Yes  ☐ No

If “yes,” please explain the reason for the absence of workers’ compensation insurance on a separate signed page. If “No,” please provide a statement by your current workers’ compensation insurance carrier that verifies periods of workers’ compensation insurance coverage for the last five years. (If your firm has been in the construction business for less than five years, provide a statement by your workers’ compensation insurance carrier verifying continuous workers’ compensation insurance coverage for the period that your firm has been in the construction business.)
H. Prevailing Wage and Apprenticeship Compliance Record

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

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

☐ Yes  ☐ No

If "yes," attach a separate signed page or pages, describing the nature of each violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that you were required to pay.

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

☐ Yes  ☐ No

If “yes,” attach a separate signed page or pages describing the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid, the amount of back wages you were required to pay along with the amount of any penalty paid.

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

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

(a) Identify the craft or crafts in which your firm provided apprenticeship training in the past year.

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

__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________

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

NOTE: You may omit reference to any incident that occurred prior to January 1, 2014, if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor’s violation at the time they occurred.

☐ Yes ☐ No

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

__________________________________________________________________________
__________________________________________________________________________
__________________________________________________________________________
PART III. RECENT CONSTRUCTION PROJECTS COMPLETED

39. Contractor shall provide information for review/evaluation regarding a minimum of three (3) and up to a maximum of five (5) closely related projects completed within the last five (5) years by the organization submitting this pre-qualification package. At a minimum, indicate size and length of watermain; type of pipe; pressure class of pipeline, etc. Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information:

Project Name: __________________________________________

Location: ______________________________________________

Owner: ________________________________________________

Owner Contact (name and current phone number):

________________________________________________________________________

________________________________________________________________________

Architect or Engineer: ____________________________________________

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

________________________________________________________________________

________________________________________________________________________

Construction Manager (name and current phone number):

________________________________________________________________________

________________________________________________________________________

Detailed Description of Project, Scope of Work Performed:

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

________________________________________________________________________

If you wish, you may, using the same format, also provide information about other projects that you have completed that are similar to the project(s) for which you expect to bid.
List the aspects of the project that were self-performed (e.g. excavation, pipeline installation, etc.)

________________________________________
________________________________________
________________________________________

List the aspects of the project that were subcontracted (provide name of subcontractor)

________________________________________
________________________________________
________________________________________

Total Value of Construction (including change orders): ________________________________

Original Scheduled Completion Date: ________________________________

Time Extensions Granted (number of days): ________________________________

Actual Date of Completion: ________________________________

* * * * * * *

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

___________________________  ____________________________ ____________________
Dated     Signature

______________________________________________ __
Printed Name & Title