



**REQUEST FOR QUALIFICATIONS
FOR
DESIGN-BUILD SERVICES
WATER RECLAMATION FACILITY (WRF)
Onsite Improvements
October 27, 2017**

**ATTACHMENT 1:
STATEMENT OF QUALIFICATIONS FORMS**

Design-Build Team: _____

Date: _____

**Primary Contact Name,
Phone Number, & Email:** _____

[Insert Cover Letter]
2 Pages Maximum

Qualification Criteria

General: Design-Build team’s information is to be clearly stated and complete. If the City finds any discrepancies in the information shown on the Qualification Statement or failure to provide necessary information, Proposer may be ruled nonresponsive. Overall impression of Proposer's questionnaire is important.

Part 1 – Design-Build Team Profile

The Design-Build Team shall provide all information requested in this form.

I. Team Contact Information

- a. Design-Build Team Name _____
- b. Design-Build Team Address _____
- c. Primary Contact Person _____
 - i. Company _____
 - ii. Phone Number _____
 - iii. Email _____

II. Legal/Corporate Structure

- a. Design-Build Entity _____
(e.g. corporation, partnership, joint venture, etc.)
- b. How many years has lead/majority business been under present name? _____
- c. How many years under former names? (List name and number of years)

- d. Have there been any contract terminations for the services your firm performs before fulfillment of the contract within the past three years? Yes____ No____
If so, list the date, client, and reason for termination below:

- e. Has any member of the Design-Build Team been assessed any penalties for noncompliance violations of the Federal or State labor laws and/or regulations within the past five (5) years? Yes____ No____ If yes, provide details, including dates:

- f. Does any member of the Design-Build Team have any ongoing investigations by any agency regarding violations of the State Labor Code, Business and Professions Code, or State Licensing laws? Yes ___ No ___ If yes, provide details, including dates:

Provide a copy of organizational documents (e.g. articles of incorporation, bylaws outlining company formation, etc.) as an attachment to the SOQ. Provide a listing of all shareholders, partners, or members of the design-build entity known at the time of statement of qualification submission of the design-build entity who will perform work on the project. Provide all licenses and registration required to design and construct the project. See SOQ Attachment 4: Statement of Qualification Standard Questionnaire

III. Team Organization

- a. General Contractor _____
License Number _____
- b. Subcontractors (discipline) _____
(list subcontractors anticipated _____
to perform at least \$1M in work) _____

- c. Design Firm Name _____
- d. Subconsultants (discipline) _____
(list subconsultants anticipated _____
to perform at least \$200k in fee) _____

- e. Organizational Chart – Provide an organizational chart illustrating the project team, Key Team Members, and the roles, responsibilities, and reporting structure of the Design-Build Team. Key Team Members shall include at least the Design-Build Team CEO/President, Project Manager, Project Superintendent, Construction Manager, Design Manager, and Engineer(s) of Record.

IV. Staffing Plan and Colocation

- a. Staffing Plan: The City of Morro Bay is aware of the staffing and housing challenges faced by many design-build entities while performing work in California. The City also

expects that the design and construction of a project of this size, complexity and schedule on the Central California coast will bring additional staffing challenges. Please provide, in as much detail as possible, the Respondent’s staffing plan for the project. This plan should include design team, construction team, including field tradesmen. How will the respondent ensure that a sufficient, skilled workforce is available in order to complete the project on schedule?

- b. Co-Location: In order to promote effective communication and the exchange of information, the City considers that co-location of key staff to Morro Bay may have potential benefit to the project. This co-location could include design, construction management and estimating team members. The City may have sufficient office space available to support a co-located team. Please explain how the Respondent can make best use of its co-located team in order to provide an effective communication framework with the City that will facilitate the decision – making process. Please indicate which Key Team Member(s) from Section III.e will be co-located with City staff in Morro Bay on a full-time basis.

V. Key Team Members: For each key team member, provide a resume (two single-sided pages maximum) as an attachment to the SOQ. The resume shall include total years of experience in design and/or construction of municipal water/wastewater infrastructure, academic qualifications, professional registrations, certifications, employment history and relevant work experience on similar projects. Key team members must have sufficient experience and training to competently manage and complete the design and construction of the project. Add copies of sections of this form as needed to completely list key team members.

- a. DB Team CEO/President Name _____
 - i. Company _____
 - ii. Current Location _____
 - iii. Phone Number _____
 - iv. Email _____
 - v. Percent of Time Allocated to Project _____

- b. Project Manager Name _____
 - i. Company _____
 - ii. Current Location _____
 - iii. Phone Number _____
 - iv. Email _____
 - v. Percent of Time _____

Allocated to Project

- c. Project Superintendent Name _____
 - i. Company _____
 - ii. Current Location _____
 - iii. Phone Number _____
 - iv. Email _____
 - v. Percent of Time
Allocated to Project _____

- d. Construction Project Manager Name _____
 - i. Company _____
 - ii. Current Location _____
 - iii. Phone Number _____
 - iv. Email _____
 - v. Percent of Time
Allocated to Project _____

- e. Design Manager Name _____
 - i. Company _____
 - ii. Current Location _____
 - iii. Phone Number _____
 - iv. Email _____
 - v. Percent of Time
Allocated to Project _____

- f. Engineer of Record Name _____
 - i. Company _____
 - ii. Responsible Discipline(s) _____
 - iii. Current Location _____
 - iv. Phone Number _____
 - v. Email _____
 - vi. Percent of Time
Allocated to Project _____

- g. Engineer of Record Name _____
 - i. Company _____
 - ii. Responsible Discipline(s) _____
 - iii. Current Location _____
 - iv. Phone Number _____
 - v. Email _____
 - vi. Percent of Time Allocated to Project _____

- h. Engineer of Record Name _____
 - i. Company _____
 - ii. Responsible Discipline(s) _____
 - iii. Current Location _____
 - iv. Phone Number _____
 - v. Email _____
 - vi. Percent of Time Allocated to Project _____

VI. Project Office Location(s)

- a. Office Location 1 City _____
 - i. Discipline(s) at Location _____
 - ii. Location Manager _____
 - iii. Phone Number _____
 - iv. Address(if known) _____
 - v. Key Team Member(s) At Location _____

- b. Office Location 2 City _____
 - i. Discipline(s) at Location _____
 - ii. Location Manager _____
 - iii. Phone Number _____
 - iv. Address(if known) _____
 - v. Key Team Member(s) At Location _____

- c. Office Location 3 City _____
 - i. Discipline(s) at Location _____
 - ii. Location Manager _____
 - iii. Phone Number _____
 - iv. Address(if known) _____
 - v. Key Team Member(s) _____
At Location

- d. Office Location 4 City _____
 - i. Discipline(s) at Location _____
 - ii. Location Manager _____
 - iii. Phone Number _____
 - iv. Address(if known) _____
 - v. Key Team Member(s) _____
At Location

- e. Office Location 5 City _____
 - i. Discipline(s) at Location _____
 - ii. Location Manager _____
 - iii. Phone Number _____
 - iv. Address(if known) _____
 - v. Key Team Member(s) _____
At Location

Part 2 – Relevant Past Experience and Reference Projects

The Design-Build Team shall provide the following past experience information for up to ten relevant projects similar in size and complexity to the WRF, using additional pages as needed to provide the requested information. The Design-Build team must have self-performed at least 50% of the work on each project listed. All projects listed shall be completed within the last 10 years from the date of this RFQ. Information provided must be evidence that members of the design build team have completed, or demonstrated the experience, competency, capability, and capacity to complete projects of similar size, scope, or complexity.

The City will contact references for up to five representative projects. Please complete the reference project forms for five of the relevant projects listed. At least two of the five projects shall be design-build projects with a guaranteed maximum price of at least \$80M. The Design-Build Team entities must have self-performed at least two of the reference projects as the General Contractor and at least two of the projects as the Lead Designer/Engineer of Record. If the Design-Build Team is a joint venture, each party within the joint-venture must have self-performed at least two of the reference project as either the General Contractor or Lead Designer/Engineer of Record. If Joint Venture or prime/sub list each participant’s projects separately.

i. Relevant Projects List

I. Project 1

- a. Owner Name _____
- b. Project Name _____
- c. Project Location _____
- d. Delivery Method (DBB/DB) _____
- e. Year Completed _____
- f. Final Construction Value (\$) _____
- g. Key Team Members Involved
(Name and role on project) _____

- h. Summary of Work Performed _____

- i. Identify from past projects any innovative technologies and/or functional features that in the teams opinion are most applicable to the proposed Morro Bay Project.

- j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):

- Construction of new wastewater treatment facilities on a “greenfield” site
- Installation of membrane bioreactor or equivalent processes
- Installation of reverse osmosis
- Installation of ultraviolet disinfection
- Installation of advanced oxidation facilities
- Major earthwork and grading
- Construction of reinforced concrete basins

II. Project 2

- a. Owner Name _____
- b. Project Name _____
- c. Project Location _____
- d. Delivery Method (DBB/DB) _____
- e. Year Completed _____
- f. Final Construction Value (\$) _____
- g. Key Team Members Involved
(Name and role on project) _____

- h. Summary of Work Performed _____

i. Identify from past projects any innovative technologies and/or functional features that in the teams opinion are most applicable to the proposed Morro Bay Project.

j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):

- Construction of new wastewater treatment facilities on a "greenfield" site
- Installation of membrane bioreactor or similar treatment process
- Installation of reverse osmosis
- Installation of ultraviolet disinfection
- Installation of advanced oxidation facilities
- Major earthwork and grading
- Construction of reinforced concrete basins

III. Project 3

- a. Owner Name

- b. Project Name

- c. Project Location

- d. Delivery Method (DBB/DB)

- e. Year Completed

- f. Final Construction Value (\$)

- g. Key Team Members Involved
(Name and role on project)

h. Summary of Work Performed _____

i. Identify from past projects any innovative technologies and/or functional features that in the teams opinion are most applicable to the proposed Morro Bay Project.

j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):

- Construction of new wastewater treatment facilities on a “greenfield” site
- Installation of membrane bioreactor or similar treatment process
- Installation of reverse osmosis
- Installation of ultraviolet disinfection
- Installation of advanced oxidation facilities
- Major earthwork and grading
- Construction of reinforced concrete basins

IV. Project 4

- a. Owner Name _____
- b. Project Name _____
- c. Project Location _____
- d. Delivery Method (DBB/DB) _____
- e. Year Completed _____
- f. Final Construction Value (\$) _____

g. Key Team Members Involved _____
(Name and role on project) _____

h. Summary of Work Performed _____

i. Identify from past projects any innovative technologies and/or functional features that in the teams opinion are most applicable to the proposed Morro Bay Project.

- j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):
- Construction of new wastewater treatment facilities on a “greenfield” site
 - Installation of membrane bioreactor or similar treatment process
 - Installation of reverse osmosis
 - Installation of ultraviolet disinfection
 - Installation of advanced oxidation facilities
 - Major earthwork and grading
 - Construction of reinforced concrete basins

V. Project 5

a. Owner Name _____

b. Project Name _____

c. Project Location _____

d. Delivery Method (DBB/DB) _____

e. Year Completed _____

f. Final Construction Value (\$) _____

g. Key Team Members Involved _____
(Name and role on project) _____

h. Summary of Work Performed _____

i. Identify from past projects any innovative technologies and/or functional features that in the teams opinion are most applicable to the proposed Morro Bay Project.

- j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):
- Construction of new wastewater treatment facilities on a "greenfield" site
 - Installation of membrane bioreactor or similar treatment process
 - Installation of reverse osmosis
 - Installation of ultraviolet disinfection
 - Installation of advanced oxidation facilities
 - Major earthwork and grading
 - Construction of reinforced concrete basins

VI. Project 6

a. Owner Name _____

b. Project Name _____

c. Project Location _____

d. Delivery Method (DBB/DB) _____

e. Year Completed _____

f. Final Construction Value (\$) _____

g. Key Team Members Involved
(Name and role on project) _____

h. Summary of Work Performed _____

i. Identify from past projects any innovative technologies and/or functional features that in the teams opinion are most applicable to the proposed Morro Bay Project.

j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):

- Construction of new wastewater treatment facilities on a “greenfield” site
- Installation of membrane bioreactor or similar treatment process
- Installation of reverse osmosis
- Installation of ultraviolet disinfection
- Installation of advanced oxidation facilities
- Major earthwork and grading
- Construction of reinforced concrete basins

VII. Project 7

- a. Owner Name _____
- b. Project Name _____
- c. Project Location _____
- d. Delivery Method (DBB/DB) _____
- e. Year Completed _____
- f. Final Construction Value (\$) _____
- g. Key Team Members Involved
(Name and role on project) _____

- h. Summary of Work Performed _____

i. Identify from past projects any innovative technologies and/or functional features that in the teams opinion are most applicable to the proposed Morro Bay Project.

j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):

- Construction of new wastewater treatment facilities on a “greenfield” site
- Installation of membrane bioreactor or similar treatment process
- Installation of reverse osmosis
- Installation of ultraviolet disinfection
- Installation of advanced oxidation facilities

- Major earthwork and grading
- Construction of reinforced concrete basins

VIII. Project 8

- a. Owner Name _____
- b. Project Name _____
- c. Project Location _____
- d. Delivery Method (DBB/DB) _____
- e. Year Completed _____
- f. Final Construction Value (\$) _____
- g. Key Team Members Involved
(Name and role on project) _____

- h. Summary of Work Performed _____

- i. Identify from past projects any innovative technologies and/or functional features that in the teams opinion are most applicable to the proposed Morro Bay Project.

- j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):
 - Construction of new wastewater treatment facilities on a "greenfield" site
 - Installation of membrane bioreactor or similar treatment process

- Installation of reverse osmosis
- Installation of ultraviolet disinfection
- Installation of advanced oxidation facilities
- Major earthwork and grading
- Construction of reinforced concrete basins

IX. Project 9

- a. Owner Name _____
- b. Project Name _____
- c. Project Location _____
- d. Delivery Method (DBB/DB) _____
- e. Year Completed _____
- f. Final Construction Value (\$) _____
- g. Key Team Members Involved _____
(Name and role on project)

- h. Summary of Work Performed _____

- i. Identify from past projects any innovative technologies and/or functional features that
in the teams opinion are most applicable to the proposed Morro Bay Project.

- j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):
 - Construction of new wastewater treatment facilities on a “greenfield” site
 - Installation of membrane bioreactor or similar treatment process
 - Installation of reverse osmosis
 - Installation of ultraviolet disinfection
 - Installation of advanced oxidation facilities
 - Major earthwork and grading
 - Construction of reinforced concrete basins

X. Project 10

- a. Owner Name _____
- b. Project Name _____
- c. Project Location _____
- d. Delivery Method (DBB/DB) _____
- e. Year Completed _____
- f. Final Construction Value (\$) _____
- g. Key Team Members Involved
(Name and role on project) _____

- h. Summary of Work Performed _____

- i. Identify from past projects any innovative technologies and/or functional features that in the teams opinion are most applicable to the proposed Morro Bay Project.

- j. Indicate whether the project included the following components (provide additional details or explanation on attached pages, where needed):
 - Construction of new wastewater treatment facilities on a “greenfield” site
 - Installation of membrane bioreactor or similar treatment process
 - Installation of reverse osmosis
 - Installation of ultraviolet disinfection
 - Installation of advanced oxidation facilities
 - Major earthwork and grading
 - Construction of reinforced concrete basins

ii. Reference Projects Form

Complete the following Project Reference Form for at least five of the relevant projects listed above.

- k. Owner Name _____
- l. Project Name _____
- m. Owner Contact Name _____
- n. Owner Contact Phone Number _____ Email _____
- o. Contract Start and End Date _____
- p. Initial Guaranteed Maximum Price _____
- q. Final Construction Value (\$) _____
- r. Total Change Orders (\$) _____
- s. Value of Self-Performed Work _____
- t. DBE/MBE/WBE Participation (\$) _____
- u. Were Schedule and Budget Met? _____

v. Did the project construction encounter any safety issues? _____

Part 3 – Financial Qualifications

The Design-Build Team shall provide the following financial information below and audited financial statements for the past three most recent fiscal years as attachments. The financial statements shall include the balance sheet and statement of cash flows. If the Design-Build Team is a joint venture, the financial information shall be provided for each party. The Design-Build Team shall also provide a Bonding Capacity Letter issued by its surety company stating the current bonding capacity for a single job and total aggregate amount.

	Year		
	2014	2015	2016
Gross Revenue			
Net Income			
Total Assets			
Total Liabilities			
Total Net Worth (Assets-Liabilities)			
Current Ratio (Assets/Liabilities)			

Part 4 – Minimum Qualifications

i. Performance and Payment Bond

The Design-Build Team shall provide a Bonding Capacity Letter issued by its surety company stating the current bonding capacity for a single job and total aggregate amount (see Attachment 1: Surety Letter of Intent).

ii. Insurance

The Design-Build Team shall provide evidence it has the capacity to obtain all insurance policies and coverages listed below. The Design-Build Team shall also maintain the minimum limits of insurance:

- Commercial General Liability: \$50M per Incident and Aggregate
- Automobile Liability: \$10M
- Worker’s Compensation and Employer’s Liability: Meet State Requirements
- Contractor’s Environmental/Pollution Liability: \$10M
- Builder’s Risk: Total Project Cost
- Professional Liability: \$50M per Incident and Aggregate

Part 5 – Safety Record

Does each member of the Design-Build Team have a documented written safety plan?

Yes _____ No _____ (If yes provide a copy of the “Table of Contents”)

Provide information concerning workers’ compensation experience history by completing the three page form (Attachment 2) titled City of Morro Bay Safety Program Worksheet and Certification. Design-Build Team must have an acceptable safety record. The safety record shall be deemed acceptable if its experience modification rate for the most recent three-year period is an average of 1.00 or less, and its average total recordable injury or illness rate average lost work rate for the most recent three-year period does not exceed the applicable statistical standards for its business category or if the proposer is a party to an alternative dispute resolution system as provided for in section 3201.5 of the Labor Code.

Part 6 – Certification Under Penalty of Perjury

Refer to following Signature page attached. The information required under RFQ shall be certified under penalty of perjury by the Design-Build Team and its general partners or joint venture members.

Attachments

1. Certification signature page
2. Surety Letter of Intent
3. City of Morro Bay Safety Program Worksheet and Certification
4. Statement of Qualifications Standard Questionnaire

SOQ Attachment 1

To: CITY OF MORRO BAY -THE PUBLIC WORKS DIRECTOR

The undersigned Design-Build Team submits the information included with this in accordance with the Request for Qualifications: (Use additional sheets as needed)

The undersigned declares under penalty of perjury under the laws of the State of California that all of the information submitted with this form is true and correct and that this Declaration was executed by persons having express authority to provide qualification information on behalf of the Design-Build Team.

PROPOSER AND Design/Builder:
[GENERAL CONTRACTOR NAME]

Signature and Title

Typed Name and Title

Signature and Title

Typed Name and Title

Signature and Title

Typed Name and Title

Signature and Title

Typed Name and Title

For partnership only:
List all General Partners

SOQ Attachment 2

Surety Letter of Intent

(to be typed on Surety Company Letterhead)

Attn: Rob Livick, PE/PLS
595 Harbor Street
Morro Bay, California 93442

SUBJECT: City of Morro Bay Design-Build Services Water Reclamation Facility –
Letter of Intent to issue Security

Dear Mr. Livick:

_____ (“the Respondent”) has submitted herewith Statement of Qualifications (SOQ) in response to the Request for Qualifications (RFQ) for the Design-Build Services Water Reclamation Facility issued by the City of Morro Bay (the “Owner” on _____, 2017, as amended, pursuant to which it is seeking to be selected by the Owner to deliver the Water Reclamation Facility Project generally described in the RFQ and to be further described in the RFP.

The Surety has reviewed the Owner’s RFQ and the Respondent’s SOQ. The Surety hereby certifies Respondent has the required total and available bonding capacity and per-project bonding limits to meet the requirements of the RFQ. The Surety(ies) further certify that, in the event the Respondent is selected as the Design-Builder and subject to review of the RFP and draft Design-Build Agreement by the Surety(ies), that the Surety(ies) intend to issue on behalf of the Respondent, as security for performance of Design-Build Services for the Water Reclamation Facility under the Design-Build Agreement , a Performance Bond and a Payment Bond for the benefit of the Owner. The Performance Bond and the Payment Bond will each be in an amount equal to the value of the price established for the Design-Build Services and shall be increased to reflect any price adjustment.

Name of Surety

Name of Authorized Signatory

Signature

Title

SOQ Attachment 3

CITY OF MORRO BAY SAFETY PROGRAM WORKSHEET AND CERTIFICATION

A. EXPERIENCE MODIFICATION RATE

City of Morro Bay Safety Program requires that all contractors awarded a contract have a three-year average Workers' Compensation Experience Modification Rate less than or equal to 1.0 (100%).

YEAR	EMR
2016	_____
2015	_____
2014	_____
Three year average:	_____

B. RECORDABLE INCIDENT RATE

City of Morro Bay's Safety Program requires that all contractors awarded a contract have a three-year average Recordable Incident Rate less than or equal to 4.0. The Recordable Incident Rate (or RIR) is calculated by multiplying the number of recordable cases by 200,000, and then dividing that number by the number of labor hours at the company.

Please calculate the RIR for the last three complete years as follows. Incident rate information should be available on your OSHA Log 300 and available from your insurance carrier.

1.0 Recordable Incidents:

Year	(a) Number of Recordable Cases	(b) Multiplier	(c) Annual Rate = (a)x(b)
2016	_____	200,000	_____
2015	_____	200,000	_____
2014	_____	200,000	_____

2.0 Total Employee Hours Worked:

Year	(d) Number of Employee labor hours worked
2016	_____
2015	_____
2014	_____

3.0 Recordable Incident Rate:

Year	Recordable Incident Rate = (c/d)
2016	_____
2015	_____
2014	_____

C. LOST TIME INCIDENT RATE

City of Morro Bay Safety Program requires that all contractors awarded a contract have a three-year average Lost Time Incident Rate less than or equal to 1.0. The Lost Time Incident Rate (or LTIR) is calculated by multiplying the number of incidents that were lost time cases by 200,000 and then dividing that by the employee labor hours at the company.

Please calculate the LTIR for the last three complete years as follows. Incident rate information should be available on your OSHA Log 300 and available from your insurance carrier.

1.0 LostTimeIncidents:

Year	(e) Number of Lost Time Cases	(f) Multiplier	(g) Annual Rate = (e)x(f)
2016	_____	200,000	_____
2015	_____	200,000	_____
2014	_____	200,000	_____

2.0 Total Employee Hours Worked:

(h)

Year	Number of Employee labor hours worked
2016	_____
2015	_____
2014	_____

3.0 Recordable Incident Rate:

Year	Lost Time Incident Rate = (g)/(h)
2016	_____
2015	_____
2014	_____
Three year Average:	_____

D. RESPONDENT DECLARATION

I declare under penalty of perjury under the laws of the State of California that the information provided in this City of Morro Bay Safety Program Worksheet and Certification is true and correct. I understand and agree that the above information is subject to verification by my insurance carrier and/or agent and I will make all such information available upon request. I further understand and agree that failure to provide accurate information and meet the City of Morro Bay's Safety Program requirements is an express condition of award of contract. I waive any right to contest the rejection of my bid as nonresponsive for failure to meet the City of Morro Bay Safety Program requirements set forth above.

Name of Respondent _____

Signature _____

Name _____

Title _____

Date _____

END OF SAFETY PROGRAM WORKSHEET AND CERTIFICATION

Statement of Qualifications Standard Questionnaire

Adapted from Model Questionnaire, CA Department of Industrial Relations, 1999

City of Morro Bay

Water Reclamation Facility Onsite Improvements

PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

Contractor will be immediately disqualified if the answer to any of questions 1 through 3 is “no.”

Contractor will be immediately disqualified if the answer to any of questions 4 through 7 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 General Engineering Contractor’s license for the project or projects for which it intends to submit a bid.
 Yes No
2. Contractor has or can acquire a liability insurance policy that includes coverage for subcontractors with policy limits per RFQ Part 4.ii: Insurance Requirements.
 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. Has your contractor’s license in any state been revoked at any time in the last five years?
 Yes No
5. 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

If the answer is “Yes”, provide explanation (attach necessary pages).

6. 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:

¹ A contractor disqualified solely because of a “Yes” answer given to question 4, 5, or 7 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

7. 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

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

A. Current Organization and Structure of the Prime Contractor, Prime Consultant or Joint Venture

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.

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 five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or 10 per cent 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 per cent 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 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.

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

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business. _____
- 1b. Social security number of company owner. _____
- 1c. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, "owner" and "partner" refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.

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

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

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

Name of firm	% Ownership of Joint Venture

B. History of the Business and Organizational Performance

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

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

Yes No

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

3. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?

NOTE: Include information about other firms if one firm owns 50 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. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

6. 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.

7. 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.

Licenses

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

9. 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.

10. 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.

11. 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.

12. 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.

Disputes

13. 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.

14. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.

- Yes No

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

15. 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.

16. 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).

17. 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).

18. 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.

19. 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.

Criminal Matters and Related Civil Suits

20. 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.

21. 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.

22. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes No

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

Bonding

23. 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.

24. 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:

25. 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.

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

26. 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.

27. 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.

28. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five years?

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

Yes No

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

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

30. 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.)

Prevailing Wage and Apprenticeship Compliance Record

- 31. 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.

- 32. 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.

- 33. 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 City of Morro Bay.

- 34. 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.

35. 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?

Yes No

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

* * * * *

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)

(Print Name)

(Title)