

**PRE-QUALIFICATION OF GENERAL  
CONTRACTORS AND ELECTRICAL  
SUBCONTRACTORS SEEKING TO BID ON THE  
SAUSALITO-MARIN CITY SANITARY DISTRICT  
WASTEWATER TREATMENT PLANT TREATMENT AND  
WET WEATHER FLOW UPGRADE**

**PROJECT No. 0055-006**

**REVISION 1**

**AUGUST 2, 2016**

# TABLE OF CONTENTS

	PAGE
REQUEST FOR PROPOSALS .....	1
NOTICE INVITING PROPOSALS .....	2
PROJECT SCOPE .....	5
PRE-QUALIFICATION QUESTIONNAIRE .....	6
Contact Information .....	7
Part I: Essential Requirements for Qualification .....	8
Part II: Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws .....	10
Part III. Recent Construction Projects Completed .....	20
DECLARATION .....	21
APPENDIX A	
PREQUALIFICATION EVALUATION FORM.....	A-1

## **REQUEST FOR PROPOSALS**

The Sausalito-Marín City Sanitary District is requesting proposals for the prequalification of 1. general contractors and 2. electrical subcontractors for bidding on the construction of a treatment and wet weather flow upgrade project at its Wastewater Treatment Plant located at #1 East Road, Sausalito, California, 94965. Phone number 415-332-0244.

### **INTRODUCTION**

The Sausalito-Marín City Sanitary District Treatment and Wet Weather Flow Upgrade project work under this contract will include furnishing all labor, materials and equipment including but not limited to; 1) demolition of select existing facilities; 2) civil/earthwork, including soil nail retaining walls, for a new access road and process structures; 3) yard and plant utility piping, including re-routing of the Main Street and Fort Baker influent sewers; 4) relocation of the existing 12kV electrical service and new switchgear; 5) new equalization storage tank and headworks structure, including all associated equipment; 6) new primary clarifier; 7) rehabilitation of the fixed film reactors, including new feed pumps, odor control covers, and media replacement; 8) new secondary polishing disk filters including filter feed pumps; and appurtenant work as needed to construct a complete and operational project as specified in these Contract Documents. The Work shall be performed in accordance with the intent of the Contract Documents, excluding any work under separate contract or other arrangement. The project Contractor is required to perform all civil, structural, mechanical, electrical and instrumentation work as applicable and as shown on the Drawings and required in the Specifications, to interconnect new equipment with existing equipment so as to provide completely functioning systems.

The project Contractor shall furnish all tools, equipment, apparatus, facilities, labor and material necessary to perform and complete in a good and workmanlike manner the construction of the TREATMENT AND WET WEATHER FLOW UPGRADE - PROJECT NO. 0055-006 as shown in the project technical specifications and plans and in accordance with the contract documents. The work includes but is not limited to; 1) demolition of select existing facilities; 2) civil/earthwork, including soil nail retaining walls, for a new access road and process structures; 3) yard and plant utility piping, including re-routing of the Main Street and Fort Baker influent sewers; 4) relocation of the existing 12kV electrical service and new switchgear; 5) new equalization storage tank and headworks structure, including all associated equipment; 6) new primary clarifier; 7) rehabilitation of the fixed film reactors, including new feed pumps, odor control covers, and media replacement; and 8) new secondary polishing disk filters including filter feed pumps and appurtenant work as needed to construct a complete and operational project as specified in the Contract Documents.

All work shall be completed within 730 calendar days of the project commencement date. Pursuant to California Public Contract Code Section 3300, a Class A California contractor's license is required to bid on the project. In accordance with California Business and Professions Code Section 7028.15, all project work must be performed by properly licensed contractors and subcontractors with active licenses in good standing as of the date and time specified for bid opening. Licenses must be issued by the Contractor's State License Board of California and must be maintained in good standing throughout the project term. In accordance with California Public Contract Code Section 6109, contractors and subcontractors who are ineligible to perform work on public works

projects pursuant to California Labor Code Sections 1777.1 or 1777.7 may neither bid on, be awarded or perform work as a subcontractor on the project.

The pre-qualification packages (questionnaire answers and financial statements) submitted by Contractors (general or electrical) are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure, and the first page of the questionnaire will be used for that purpose.

### **NOTICE INVITING PROPOSALS**

1. Sausalito-Marín City Sanitary District is requesting proposals from general contractors and electrical subcontractors in order to pre-qualify the bidders for this unique construction project. Proposals shall be submitted to the Sausalito-Marín City Sanitary District located at #1 East Road, Sausalito, CA 94965, Attention: Kevin Rahman, PE, Project Manager by 2:00 pm, August 26, 2016. Submit two hard copies and one electronic copy on a CD of the proposal.
2. Complete answers to questions contained in the Application for Prequalification, information about current bonding capacity, an original notarized statement from an admitted, corporate surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information, are required. The District reserves the right to check other sources available. The District's decision will be based on objective evaluation criteria, as described in the prequalification packet. The District reserves the right to adjust, increase, limit, suspend, or rescind the prequalification rating based on subsequently learned information. Bidders whose rating changes sufficiently to disqualify them will be notified, and given the opportunity for a hearing consistent with the procedures described below for appealing a prequalification rating, provided there are at least 10 business days prior to the bid opening date to allow for the appeals hearing to be conducted.
3. While it is the intent of the Application for Prequalification and documents required therewith to assist the District in determining bidder responsibility prior to bid and to aid the District in selecting the lowest responsible bidder, neither the fact of pre-qualification, nor any prequalification rating, will preclude the District from a post-bid consideration and determination of whether a bidder has the quality, fitness, capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness.
4. The work described requires that the general contractor be licensed by the State of California as a Class A Contractor and the electrical subcontractor as a C-10.
5. The proposal forms are available as a free download from the Sausalito-Marín City Sanitary District, see Documents tab at [SMCSD.net](http://SMCSD.net). Any questions regarding the proposal documents shall be directed to Kevin Rahman, PE, Project Manager, at 415-331-4714, or in writing at [kevin@smcsd.net](mailto:kevin@smcsd.net).

6. The estimated construction cost of this project is \$21M. This estimate is not based on a "contractor's cost take off" of the project, but is derived from an averaging of costs for work on similar projects of this type of which the District is aware. This figure is given to indicate the relative order of magnitude of this project and is not intended to influence or affect in any way the amount of the future bid for this project.

7. **SCHEDULE FOR CONTRACTOR PRE-QUALIFICATION AND PROJECT**

**Fixed Pre-Qualification Dates:**

Notification of Pre-qualification	July 11, 2016
Pre-qualification Proposals Due	August 26, 2016, 2:00 pm

**Estimated Project Dates:**

Release of Bid Documents & Notice to Bid	September 12, 2016
Mandatory Pre-Bid Conference	October 4, 2016, 9:00 am
Bids Due	October 19, 2016, 2:00 pm
Award	November 7, 2016
Construction	December 2016 – December 2018

8. Addenda issued shall become a part of the documents furnished Contractors (general and electrical) for the preparation of proposals. Each proposal shall include specific acknowledgement in the space provided of receipt of all Addenda issued during the proposal period. Failure to so acknowledge may result in the proposal being rejected as not responsive. It is the responsibility of the Contractor to contact the District to determine the existence of any and all addenda.
9. Contractor shall provide its Contractor's Registration Number from the State of California Department of Industrial Relations with its proposal. No contractor or subcontractor may be listed on a bid proposal for a public works project and no contractor or subcontractor may be awarded a contract for public work on a public works project unless registered with the Department of Industrial Relations pursuant to Labor Code section 1725.5. The project for which this pre-qualification references will be subject to compliance monitoring and enforcement by the Department of Industrial Relations.
10. The right is reserved, as the interest of the District may require, to reject any or all proposals, to waive any informality in proposals, and to accept, modify, or reject any items of the proposal, or in the case of a single proposal being received to extend the acceptance date by up to thirty (30) days with notice.
11. When a timely and completed application results in a rating below that necessary to qualify, an appeal can be made. To initiate and appeal, Contractor must put in writing a notice to the District to appeal the decision with respect to its pre-qualification rating. The request must be made no later than the third business day following the District's notification to the Contractor of his pre-qualification determination. Without a timely appeal, the Contractor waives all rights to challenge the decision of the District, whether by administrative process, judicial process or any other legal process or proceeding.

If the Contractor gives the required and timely notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded within ten business days after the District's receipt of the notice of appeal. The hearing shall be an informal process conducted by a panel to which the District has delegated responsibility to hear such appeals. At or prior to the hearing, the Contractor will be advised of the basis for the District's prequalification determination. The Contractor will be given the opportunity to present information and present reasons in opposition to the rating. The Appeals Panel will render its decision within two business days after the conclusion of the hearing.

Note: A Contractor (general or electrical) may be found not prequalified for the following reasons:

- a. Omission of requested information.
- b. Information not meeting specific performance criteria.
- c. Falsification of information.
- d. Failure to provide updated material or corrected information.

Revised: August 2, 2016

## **PROJECT SCOPE**

The site for the Treatment and Wet Weather Flow Upgrade project is #1 East Road, Sausalito, California. The project scope will include but not be limited to:

Furnishing all labor, materials and equipment including but not limited to:

1. Demolition of select existing facilities;
2. Civil/earthwork, including soil nail retaining walls, for a new access road and process structures;
3. Yard and plant utility piping, including re-routing of the Main Street and Fort Baker influent sewers;
4. Relocation of the existing 12 kV electrical service and new switchgear;
5. New equalization storage tank and headworks structure, including all associated equipment;
6. New primary clarifier;
7. Rehabilitation of the fixed film reactors, including new feed pumps, odor control covers, and media replacement;
8. New secondary polishing disk filters including filter feed pumps; and appurtenant work as needed to construct a complete and operational project as specified in these Contract Documents.

The Work shall be performed in accordance with the intent of the Contract Documents, excluding any work under separate contract or other arrangement. The Contractor is required to perform all civil, structural, mechanical, electrical and instrumentation work as applicable and as shown on the Drawings and required in the Specifications, to interconnect new equipment with existing equipment so as to provide completely functioning systems.

# PRE-QUALIFICATION QUESTIONNAIRE

**General Contractors and Electrical Subcontractors shall submit these forms for its experience and qualifications.**

- **General Contractors and Electrical Subcontractors are welcome to provide additional materials to support their qualifications for this unique project.**
- **Failure of a General Contractors and Electrical Subcontractors to submit this completed form shall be considered non-responsive.**
- **Failure of a General Contractors and Electrical Subcontractors to fill out this form completely shall be considered non-responsive.**

## **EVALUATION CRITERIA**

The evaluation and selection of the General Contractor and/or Electrical Subcontractor will be based on the demonstrated competency and professional qualifications necessary for the satisfactory performance of the services required. Evaluation will also be based on the information submitted and obtained from references. The District reserves the right to request additional information and references.

Criteria for the evaluation of the bidder shall include but not be limited to:

- Safety
- General Contractor and/or Electrical Subcontractor experience with similar projects
- General Contractor and/or Electrical Subcontractor ability to perform
- General Contractor and/or Electrical Subcontractor ability to manage subcontractors
- Quality of workmanship (District's representatives will call references)
- Bidder's willingness to work with Owner (District's representatives will call references)
- Location of Bidder's home office and shop



**CONTACT INFORMATION**

**General Contractor (Check)**   
**Electrical Subcontractor (Check)**

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):

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION**

**General Contractor or Electrical Subcontractor will be immediately disqualified if the answer to any of questions 1 through 5 is “no.”<sup>1</sup>**

**General Contractor or Electrical Subcontractor will be immediately disqualified if the answer to any of questions 6, 7, 8 or 9 is “yes.”<sup>1</sup> 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. General Contractor or Electrical Subcontractor 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. General Contractor has a liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$5,000,000 aggregate. Electrical Subcontractor has a liability insurance policy limit of at least \$1,000,000 per occurrence and \$2,000,000 aggregate.  
 Yes       No
  
3. General Contractor or Electrical Subcontractor 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. The General Contractor must perform at least 20% of the project labor value with their own forces.  
 Yes       No
  
4. Have you attached your latest copy of a reviewed or audited financial statement with accompanying notes and supplemental information?  
 Yes       No

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

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?<sup>2</sup> **General Contractor only.**  
 Yes       No

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

---

<sup>1</sup> A general contractor or electrical subcontractor 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.

<sup>2</sup> 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.

6. Has your General Contractor's or Electrical Subcontractor 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? General Contractor only.  
 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

**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.

Name	Position	Years with Co.	% Ownership	Social Security #

- 1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.  
**NOTE: For this question, “owner” and “partner” refer to ownership of ten 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	Social Security #

- 1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

**NOTE: For this question, “owner” and “partner” refer to ownership of ten 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. 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.

### Licenses

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

\_\_\_\_\_

\_\_\_\_\_

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.

**Disputes**

14. At any time in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?  
 Yes       No  
 If yes, explain on a separate signed page, identifying all such projects by owner, owner’s address, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.
15. In the last five years has your firm, or any firm with which any of your company’s owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?  
**NOTE: “Associated with” refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.**  
 Yes       No  
 If “yes,” explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.
16. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?  
 Yes       No  
 If “yes,” explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

\* \* \* \* \*

**NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your**

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

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

Yes       No

If “yes,” on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

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

Yes       No

If “yes,” on separate signed sheets of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

\* \* \* \* \*

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

Yes       No

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

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

Yes       No

If “yes,” explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

### **Criminal Matters and Related Civil Suits**

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



Yes       No

If “yes,” explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

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

Yes       No

If “yes,” explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction.

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

Yes       No

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

### **Bonding**

24. Bonding capacity: **General Contractor Only**. 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. **General Contractor Only**.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### **Insurance**

26. Is your firm able to obtain the following insurance in the limits stated below (included here or as an attachment)?

Yes       No

- A. Commercial General Liability Insurance, occurrence form, with a limit of not less than \$5,000,000 each occurrence. (\$2,000,000 limit for Subcontractor.) If such

insurance contains a general aggregate limit, it shall apply separately to this Agreement or be no less than two (2) times the occurrence limit.

- B. Automobile Liability Insurance, occurrence form, with a limit of not less than \$1,000,000 each occurrence. Such insurance shall include coverage for owned, hired, and non-owned automobiles.
- C. Workers Compensation in at least the minimum statutory limits.
- D. General Provisions for all insurance. All insurance shall:
  - i. Include the Sausalito-Marin City Sanitary District, its elected and appointed officials, employees, agents and the National Park Service (NPS) as additional insureds, except workers compensation, with respect to this Agreement and the performance of services in this Agreement. The coverage shall contain no special limitations on the scope of its protection to the above-designated insureds.
  - ii. Be primary with respect to any insurance or self-insurance programs of District, its elected and appointed officials, employees, and agents.
  - iii. Be evidenced, prior to commencement of services, by properly executed policy endorsements in addition to a certificate of insurance.
  - iv. No changes in insurance may be made without the written approval of the City Attorney's office.
  - v. NOTICE OF CANCELLATION: The District requires 30 days written notice of cancellation. Additionally, the notice statement on the certificate should not include the wording "endeavor to" or "But failure to mail such notice shall impose no obligation or liability of any kind upon the company, its agents or representatives".

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? **General Contractor only.**

Yes       No

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

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

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

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

Yes       No

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

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

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

Yes       No

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

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

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

Yes       No

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

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

\_\_\_\_\_

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

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

Current year: \_\_\_\_\_

Previous year: \_\_\_\_\_

Year prior to previous year: \_\_\_\_\_

If your EMR for any of these three years is or was 1.25 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.)

### **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 *the Sausalito-Marin City Sanitary District*.

---

---

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

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

---



---



---

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

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

Yes       No

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

**PART III. RECENT CONSTRUCTION PROJECTS COMPLETED AT AN OPERATING WASTEWATER OR WATER TREATMENT PLANT THAT INCLUDED EARTHWORK, SITE UTILITIES, STRUCTURAL, MECHANICAL, ELECTRICAL, AND INSTRUMENTATION AND CONTROLS WORK**

39. Contractor shall provide information about its **four** most recently completed public works and/or private projects at operating wastewater or water treatment plants within the last ten years.<sup>3</sup> **For General Contractor; Two projects must be over \$20 million in construction value, the other two must be over \$10 million in construction value. For Electrical Subcontractor; Two projects where you were subcontractor, must be over \$20 million in construction value to the General Contractor, the other two must be over \$10 million in construction value to the General Contractor.** Names and references must be current and verifiable. For Each of the reference projects (4), use separate sheets of paper that contain all of the following information:

Project Name: \_\_\_\_\_

Location: \_\_\_\_\_

Owner: \_\_\_\_\_

Owner Contact (name and current phone number):

\_\_\_\_\_  
\_\_\_\_\_

Architect or Engineer: \_\_\_\_\_

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

\_\_\_\_\_  
\_\_\_\_\_

Construction Manager (name and current phone number):

\_\_\_\_\_  
\_\_\_\_\_

Description of Project, Scope of Work Performed:

\_\_\_\_\_  
\_\_\_\_\_

Total Value of Construction (including change orders): \_\_\_\_\_

Original Scheduled Completion Date: \_\_\_\_\_

Time Extensions Granted (number of days): \_\_\_\_\_

Actual Date of Completion: \_\_\_\_\_

---

<sup>3</sup> 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.

\* \* \* \* \*

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)

\_\_\_\_\_  
(Company)

\_\_\_\_\_  
(Phone)

\_\_\_\_\_  
(E-Mail)