CITY OF CORONADO

PREQUALIFICATION PACKAGE:

PARKER PUMP STATION REHABILITATION PROJECT

August 30, 2019
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CITY OF CORONADO
CALIFORNIA
PREQUALIFICATION QUESTIONNAIRE

The City of Coronado, California, invites responses for:

PREQUALIFICATION OF BIDDERS FOR THE UPCOMING PUBLIC WORKS BID FOR THE PARKER PUMP STATION REHABILITATION PROJECT

Notice is hereby given that the City of Coronado has determined that all bidders on the Parker Pump Station Rehabilitation project must be prequalified prior to submitting a bid. It is mandatory that all Contractors who intend to submit a bid fully complete the prequalification questionnaire, provide all materials requested herein, and be approved by the City of Coronado to be on the final qualified bidders’ list. No bid will be accepted from a Contractor that has failed to comply with these requirements. If two or more business entities submit a bid as part of a Joint Venture, or expect to submit a bid as part of a Joint Venture, each entity within the Joint Venture must be separately qualified to bid. The last date to submit a fully completed questionnaire is October 10, 2019, prior to 3:00 p.m. Contractors are encouraged to submit prequalification packages as soon as possible, so that they may be notified of omissions of information to be remedied or of their prequalification status well in advance of the bid advertisement for this project.

Answers to questions contained in the attached questionnaire, information about current bonding capacity, a notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information, are required. The City of Coronado will use these documents as the basis of rating Contractors in respect to the size and scope of contracts upon which each Contractor is qualified to bid. The City of Coronado reserves the right to check other sources available. The City of Coronado’s decision will be based upon objective evaluation criteria.

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

While it is the intent of the prequalification questionnaire and documents to assist the City of Coronado in determining bidder responsibility prior to bid, neither the fact of prequalification, nor any prequalification rating, will preclude the City of Coronado from a post-bid consideration and determination of whether a bidder has the qualifications, fitness, capacity, and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness.

The prequalification packages shall be submitted under seal to Engineering Division, City of Coronado, 1825 Strand Way, Coronado, California 92118 and be marked “CONFIDENTIAL – Parker Pump Station Rehabilitation – Prequalification” prior to 3:00 p.m. on October 10, 2019.
The prequalification packages (questionnaire answers and financial statements) submitted by Contractors are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification, investigation of substantial allegations, or in the appeal hearing. State law requires that the names of Contractors applying for prequalification status shall be public records subject to disclosure, and the first page of the questionnaire will be used for that purpose. Each questionnaire must be signed, under penalty of perjury, in the manner designated at the end of the form, by an individual who has the legal authority to bind the Contractor on whose behalf that person is signing. If any information provided by a Contractor becomes inaccurate, the Contractor must immediately notify the City of Coronado and provide updated accurate information in writing, under penalty of perjury.

The City of Coronado reserves the right to waive minor irregularities and omissions in the information contained in the prequalification application submitted, to make all final determinations, and to determine at any time that the prequalification procedures will not be applied to a specific future public project.

Contractors may submit prequalification packages during regular working hours on any day that the offices of the City of Coronado are open and prior to 3:00 p.m. on October 10, 2019. Contractors who submit a complete prequalification package will be notified of their qualification status.

Communications during the prequalification process: All communications related to this Prequalification Process, including Addenda, will be published on the City’s website as part of the Bid Documents. The contact at the City of Coronado is Associate Engineer Katie Odiorne, phone number (619) 522-2424, email kodiorne@coronado.ca.us.

The City of Coronado may refuse to grant prequalification where the requested information and materials are not provided, or not provided by October 10, 2019, at 3:00 p.m. There is no appeal from a refusal for an incomplete or late application, but reapplication for a later project is permitted. The closing time for bids will not be changed to accommodate supplementation of incomplete submissions, or late submissions.

Where a timely and completed application results in a rating below that necessary to prequalify, an appeal can be made. An appeal is begun by the Contractor delivering notice to the City of Coronado of its appeal of the decision with respect to its prequalification rating, no later than ten (10) business days after notification of prequalification status has been received. Without a timely appeal, the Contractor waives any and all rights to challenge the decision of the City of Coronado, whether by administrative process, judicial process, or any other legal process of proceeding.

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 five (5) business days after the City of Coronado’s receipt of the notice of appeal, and no later than five (5) business days prior to the last date for the receipt of bids on the project. The hearing shall be an informal process conducted by a panel to which the Coronado City Council has delegated responsibility to hear such appeals (the “Appeals Panel”). At or prior to the hearing, the Contractor will be advised of the basis for the City of Coronado’s prequalification determination. The Contractor will be given the opportunity to present
information and present reasons to rebut any evidence used as a basis for disqualification and to present evidence to the City as to why the prospective bidder should be found qualified. Within one (1) day after the conclusion of the hearing, the Appeals Panel will render its decision. It is the intention of the City of Coronado that the date for the submission and opening of bids will not be delayed or postponed to allow completion of an appeals process.

Note: A Contractor may be found not prequalified for bidding on a specific public works contract to be let by the City of Coronado, or on all contracts to be let by the City of Coronado, until the Contractor meets the City of Coronado’s requirements. In addition, a Contractor may be found not prequalified for either:

1. Omission of requested information; or
2. Falsification of information

City of Coronado

Date: ____________________

___________________________
Ed Walton, City Engineer
Public Services and Engineering Department

Attachment: A List of the Scorable Questions and the Scoring Instructions
PARKER PUMP STATION REHABILITATION
PROJECT SCOPE

The Parker Pump Station is an existing pump station that was constructed in the 1980s and comprises two separate pump stations, one for storm water and one for sewage. Both existing stations operate with a dry well and wet well configuration. A single underground structure contains both stations, which is divided into two isolated wet well chambers. The dry well is shared by both storm water and sewage pumps, and it includes all the electrical facilities. The pumping capacity of the storm water system is 80 cfs and the sewer system is 350 gpm.

The storm water pump station has a tributary area of roughly 150 acres in which storm water is collected through a series of storm drain inlets and pipes ranging from 12-inch to 48-inch. Ultimately, the storm drain pipes meet at a 48-inch pipe and flow is conveyed by gravity to the pump station at the most downstream end of the system. In addition to pumping storm flows, the storm drain system experiences a significant amount of infiltration/inflow (I/I) due to the high groundwater table in the area. The sewage pump station collects wastewater that is generated by the surrounding residential areas through a series of 8-inch piping. The gravity sewer influent flow is then conveyed to the pump station via two (2) 8-inch vitrified clay pipes which discharge to the sewage wet well chamber. The existing underground structure is showing signs of structural distress such as significant concrete delamination, deterioration, and water intrusion, which could lead to eventual structural failure.

The subject project includes demolition of the existing pump station including the structure, pumps, valves, appurtenances, electrical controls/facilities, and other miscellaneous items. The project will include construction of entirely new submersible stations for both storm water and sewer. The new storm water station includes installing submersible pumps in a new wet well structure, installing valves and appurtenances in a new valve vault structure, and relocating the electrical facilities to an above-ground building structure. The new sewer pump station will consist of a submersible package pump station including wet well, valve vault, valves, piping, and appurtenances (the sewer discharge piping will connect to the existing sanitary sewer force main). The project also includes construction of a new trash rack structure, installation of new access manways for the 24-inch and 54-inch storm force mains, construction of a new above-ground building to house the new electrical controls, and installation of a new permanent generator with structural enclosure.

The project will include a significant amount of groundwater dewatering due to the high groundwater table in the area. The contractor shall anticipate developing and implementing a comprehensive dewatering plan to accomplish the work.

The project will require a full and separate bypass system for the sewer and storm water flows during construction and shall be designed to accommodate the full range of inflows that will occur throughout the construction period whenever the stations are out of service. It is expected that the bypass system will require noise control measures to comply with the Noise Permit that will be issued for the project.

The project site is significantly constrained with residential properties on either side of the parcel and with Naval Air Station North Island bordering the rear of the property. Construction will need
to be properly sequenced and laid out to make full use of the site and to be able to construct the improvements per plan.

The project is anticipated to be advertised by the first quarter of 2020 and construction is expected to begin in mid-2020.

Engineer’s Estimate: $13,000,000. The design is currently at the 30% phase; therefore, the Engineer’s Estimate is preliminary and is subject to change.

Contractor California License Requirement: Class A.

Contractors are required to possess a City of Coronado Business Registration prior to construction.
PREQUALIFICATION QUESTIONNAIRE
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):

______________________________________________

______________________________________________

______________________________________________
PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

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

Contractor will be immediately disqualified if the answer to any of questions 6, 7, 8 or 9 is “yes.”² If the answer to question 8 is “yes,” and if debarment would be the sole reason for denial of prequalification, any prequalification issued will exclude the debarment period.

1. Contractor possesses a valid and current California Contractor’s license for the project or projects for which it intends to submit a bid.
   □ Yes □ No

2. Contractor has a liability insurance policy with a policy limit of at least $1,000,000 per occurrence and $2,000,000 aggregate.
   □ Yes □ No

3. Contractor has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.
   □ Yes □ No  □ Contractor is exempt from this requirement, because it has no employees

4. Have you attached your latest copy of a reviewed or audited financial statement with accompanying notes and supplemental information.³
   □ Yes □ No

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

5. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) authorized to issue bonds in the State of California, which states: (a) that your current bonding capacity is sufficient for the project for which you seek prequalification if you are seeking prequalification for a single project; or (if you are seeking prequalification valid for a year) (b) your current available bonding capacity?⁴

¹ A “no” answer to Question 4 will not be disqualifying if the contractor is exempt from complying with Question 4, for reasons explained in Footnote 3.
² A contractor disqualified solely because of a “Yes” answer given to Questions 6, 7, or 9 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.
³ Public Contract Code section 20101(e) exempts from this requirement a contractor who has qualified as a small business pursuant to Government Code section 14837(d)(1), if the bid is “no more than 25 per cent of the qualifying amount provided in section 14837(d)(1).” As of January 1, 2001, the qualifying amount is $10 million, and 25 per cent of that amount, therefore, is $2.5 million.
⁴ An additional notarized statement from the surety may be requested by the City of Coronado at the time of submission of a bid, if this prequalification package is submitted more than 60 days prior to submission of the bid.
☐ 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 past 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 prequalification 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 past 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.

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

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

For Firms that are Partnerships:

1a. Date of formation: ________________
1b. Under the laws of what state: _________
1c. Provide all the following information for each partner who owns 10 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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</table>

Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the past 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 Company</th>
<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 past five years.

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<thead>
<tr>
<th>Person’s Name</th>
<th>Construction Company</th>
<th>Dates of Person’s Participation with Company</th>
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</tbody>
</table>
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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<tr>
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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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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 past 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:

_________________________________________________________________

_________________________________________________________________

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 past 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 past five years?
Disputes

14. At any time in the past 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,” please explain on a separate signed sheet.

15. In the past 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 prequalification 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 past 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 past 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: 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 past five years including the dates during which each wrote the bonds:

________________________________________________________

________________________________________________________

________________________________________________________

________________________________________________________

27. During the past 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

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

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

16
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 past 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 past 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 past 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?  
☐ Yes  ☐ No  
NOTE: This question refers only to your own firm’s violation of prevailing wage laws, not to violations of the prevailing wage laws by a subcontractor.  
☐ 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 past 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 City of Coronado.
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 past 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

1. Contractor shall provide information about its six most recently completed public works projects and its three largest completed private projects within the last three years. Projects shall be similar in size and scope to the Parker Pump Station Rehabilitation Project. Similarities that will be considered include pump station replacement projects and pump station rehabilitation projects with similar pumping capacities to the Parker

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5 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.
Pump Station, site constraints, extensive dewatering during construction, and complex bypass systems. Names and references must be current and verifiable. At least two projects must have included a complex dewatering system and a description of the system must be included; if dewatering was performed by a subcontractor, provide the name and contact information for that subcontractor. Use separate sheets of paper that contain all the following information:

Project Name: ____________________________________________

Location: ________________________________________________

Owner: __________________________________________________

Owner Contact (name and current phone number):

______________________________________________

______________________________________________

Architect or Engineering Firm: ________________________________

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: ________________________________
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: ________________________

(Name)
A LIST OF THE SCORABLE QUESTIONS AND THE SCORING INSTRUCTIONS
A LIST OF THE SCORABLE QUESTIONS AND THE SCORING INSTRUCTIONS

The scorable questions arise in three different areas:

(I) History of the business and organizational performance;

(II) Compliance with occupational safety and health laws, workers’ compensation and other labor legislation; and

(III) Completion of recent projects and quality of performance.

The interview questions (interviews by the public agency of project managers on projects completed recently by the contractor) are included in Group III. In a prequalification procedure for a single project, this last category would also include a scoring of the number of recently completed projects that are similar to the project for which prequalification is at issue. However, scoring linked to the similarity of past projects would probably not be possible or useful if the public agency was prequalifying contractors for an extended period for multiple projects.

Note: Not all questions in the questionnaire are scorable; some questions simply ask for information about the contractor firm’s structure, officers and history. This document includes only those questions that are “scorable.” The question numbers in this document are the numbers used in the questionnaire. Thus, the questions included here begin with question number 6, and there are a few breaks in the numerical sequence.

The Scores Needed for Prequalification

To prequalify, a contractor would be required to have a passing grade within each of the three large categories referred to above.

For Section I, History of the business and organizational performance, DIR recommends use of a passing score of 57 on this portion of the questionnaire (of a maximum score of 76 on this portion of the questionnaire).

For Section II, Compliance with occupational safety and health laws, workers’ compensation and other labor legislation, DIR recommends use of a passing score of 38 on this portion of the questionnaire (of a maximum score of 53 points on this portion of the questionnaire).

Section III, Completion of recent projects and quality of performance, includes a series of interview questions, and may also include questions about recently completed (public or private) construction projects. For the interview questions, DIR recommends that a public agency interview project managers for the owners of two completed projects. DIR recommends a scoring system that would allow a maximum score of 120 points for each interview. For these questions, DIR recommends qualification for a contractor whose score on each of two interviews is 72 points or more; a denial of prequalification for a
contractor whose score on either interview is less than 55 points; and an additional interview with another reference if the score resulting from one interview is between 55 points and 72 points.

DIR makes no recommendation about how to score a contractor’s answers about recently completed past projects. Because of the wide range of projects that a public agency may be planning, and the similarly wide range in the skills, abilities, and experience that a public agency will consider most important for a pending project, it is impossible to propose a useful model scoring system to apply to the answers given about a contractor’s completed projects.

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

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

3 years or more = 2 points  
4 years = 3 points  
5 years = 4 points  
6 years or more = 5 points

2. Is your firm currently the debtor in a bankruptcy case?  
☐ Yes  ☐ No  

No = 3 points  Yes = 0 points

3. Was your firm in bankruptcy any time during the past five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above).  
☐ Yes  ☐ No  

No = 3 points  Yes = 0 points

4. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the past five years?  
☐ Yes  ☐ No  

No = 5 points  Yes = 0 points

5. At any time in the past 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  

No projects with liquidated damages of more than $50,000, or one project with liquidated damages = 5 points.
Two projects with liquidated damages of more than $50,000 = 3 points
Any other answer: No points

6. In the past 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
No = 5 points    Yes = 0 points

7. In the past 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
No = 5 points    Yes = 0 points

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

8. In the past 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 the firm’s average gross revenue for the last three years was less than $50 million, scoring is as follows:
5 points for either “No” or “Yes” indicating 1 such instance
3 points for “Yes” indicating 2 such instances
0 points for “Yes” if more than 2 such instances

If your firm’s average gross revenue for the last three years was more than $50 million, scoring is as follows:
5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances
3 points for “Yes” indicating either 4 or 5 such instances
0 points for “Yes” if more than 5 such instances
9. In the past 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 your firm’s average gross revenues for the last three years was less than $50 million, scoring is as follows:*

5 points for either “No” or “Yes” indicating 1 such instance
3 points for “Yes” indicating 2 such instances
0 points for “Yes” if more than 2 such instances

*If your firm’s average gross revenues for the last three years was more than $50 million, scoring is as follows:*

5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances
3 points for “Yes” indicating either 4 or 5 such instances
0 points for “Yes” if more than 5 such instances

10. 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

5 points for either “No” or “Yes” indicating 1 such claim
3 points for “Yes” indicating no more than 2 such claims
Subtract five points for “Yes” if more than 2 such claims

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

- [ ] Yes
- [ ] No

5 points for either “No” or “Yes” indicating 1 such instance.
3 points for “Yes” indicating 2 such instances
0 points for “Yes” or if more than 2 such instances

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

- [ ] Yes
- [ ] No
No = 5 points  Yes = Subtract 5 points

13. Has your firm, or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?
   ☐ Yes  ☐ No

No = 5 points  Yes = Subtract 5 points

14. Has your firm or any of its owners, officers or partners, ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?
   ☐ Yes  ☐ No

No = 5 points  Yes = Subtract 5 points

15. If your firm was required to pay a premium of more than one 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.

__________________%

5 points if the rate is no more than one per cent
3 points if the rate was no higher than 1.10 per cent
0 points for any other answer

16. During the past five years has your firm ever been denied bond credit by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?
   ☐ Yes  ☐ No

No = 5 points  Yes = 0 points

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

1. 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 the firm's average gross revenues for the last three years was less than $50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1 such instance  
3 points for “Yes” indicating 2 such instances  
0 points for “Yes” if more than 2 such instances

If the firm’s average gross revenues for the last three years was more than $50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances  
3 points for “Yes” indicating either 4 or 5 such instances  
0 points for “Yes” if more than 5 such instances

2. 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 appropriate appeals Board has not yet ruled on your appeal, you need not include information about it.  
   □ Yes □ No  
   If yes, attach a separate signed page describing each citation.

If the firm’s average gross revenues for the last three years was less than $50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1 such instance  
3 points for “Yes” indicating 2 such instances  
0 points for “Yes” or if more than 2 such instances

If the firm’s average gross revenues for the last three years was more than $50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances  
3 points for “Yes” indicating either 4 or 5 such instances  
0 points for “Yes” if more than 5 such instances

3. 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 the firm's average gross revenues for the last three years was less than $50 million, scoring is as follows:
5 points for either “No” or “Yes” indicating 1 such instance
3 points for “Yes” indicating 2 such instances
0 points for “Yes” or if more than 2 such instances

If the firm’s average gross revenues for the last three years was more than $50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances
3 points for “Yes” indicating either 4 or 5 such instances
0 points for “Yes” if more than 5 such instances

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

_________________________

3 points for an answer of once each week or more often
0 points for any other answer

5. 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.

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

5 points for three-year average EMR of .95 or less
3 points for three-year average of EMR of more than .95 but no more than 1.00
0 points for any other EMR

6. Within the past 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

5 points for either “No” or “Yes” indicating 1 such instance.
0 points for any other answer.
7. Has there been more than one occasion during the past five years on which your firm was required to pay either back wages or penalties for your own firm’s failure to comply with the state’s prevailing wage laws?

☐ Yes  ☐ No

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

If your firm’s average gross revenues for the last three years was less than $50 million, scoring is as follows:

5 points for either “No,” or “Yes” indicating either 1 or 2 such instance
3 points for “Yes” indicating 3 such instances
0 points for “Yes” and more than 3 such instances

If your firm’s average gross revenues for the last three years was more than $50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating no more than 4 such instances
3 points for “Yes” indicating either 5 or 6 such instances
0 points for “Yes” and more than 6 such instances

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

☐ Yes  ☐ No

If your firm’s average gross revenues for the last three years was less than $50 million, scoring is as follows:

5 points for either “No,” or “Yes” indicating either 1 or 2 such instance
3 points for “Yes” indicating 3 such instances
0 points for “Yes” and more than 3 such instances

If your firm’s average gross revenues for the last three years was more than $50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating no more than 4 such instances
3 points for “Yes” indicating either 5 or 6 such instances
0 points for “Yes” and more than 6 such instances

9. Provide the name, address and telephone number of the apprenticeship program sponsor(s) (approved by the California Division of Apprenticeship Standards) that will provide apprentices to your company for use on any public work project for which you are awarded a contract by the City of Coronado.

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

10. 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.

5 points if one or more persons completed an approved apprenticeship while employed by your firm
0 points if no persons completed an approved apprenticeship while employed by your firm

11. At any time during the past 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).

If your firm’s average gross revenues for the last three years was less than $50 million, scoring is as follows:

5 points for either “No,” or “Yes” indicating either 1 or 2 such instances
3 points for “Yes” indicating 3 such instances.
0 points for “Yes” and more than 3 such instances.

If your firm’s average gross revenues for the last three years was more than $50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating no more than 4 such instances
3 points for “Yes” indicating either 5 or 6 such instances
0 points for “Yes” and more than 6 such instances

Questions concerning recent construction projects completed:
(one question, plus 11 interview questions)

The following questions to be scored only where a public agency is undertaking a prequalification procedure valid for a single project only.

1. Contractor shall provide information about its six most recently completed public works projects and its three largest completed private projects within the last three years. Projects shall be similar in size and scope to the Parker Pump Station Rehabilitation project. Similarities that will be considered include pump station replacement projects and pump station rehabilitation projects with similar pumping capacities to the Parker Pump Station, site constraints, extensive dewatering during construction, and complex bypass systems.

2. Names and references must be current and verifiable. At least two projects must have included a complex dewatering system and a description of the system must be included; if dewatering was performed by a subcontractor, provide the name and contact information for that subcontractor. Use separate sheets of paper that contain all the following information:

   Project Name: ________________________________________________
   Location: __________________________________________________
   Owner: ______________________________________________________
   Owner Contact (name and current phone number):
   __________________________________________________________
   __________________________________________________________
   Architect or Engineering Firm: ________________________________
   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: __________________________

   6 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.
Time Extensions Granted (number of days): __________________________

Actual Date of Completion: ________________________________

* * * * *

Scoring of previous projects completed:

For prequalification for a single project that may require specific skills and capabilities, public agencies may choose to score contractors for the number of similar projects completed, and the degree of similarity between past projects and the planned project. DIR has not suggested any scoring for this aspect of the prequalification process because of the numerous possible variations in both the type of project to be built and the points of similarity between the pending project and past projects that may be significant to the public agency.
MODEL INTERVIEW QUESTIONS
MODEL INTERVIEW QUESTIONS

The following questions will be used to interview randomly selected contacts from at least one completed projects. The City of Coronado will conduct the interviews. No action on the contractor’s part is necessary. These questions are included in the package given to the contractor for information only.

The highest possible score is 120 points. A score of less than 55 points disqualifies a contractor from bidding on projects that are proposed by the City of Coronado. A score of between 56 and 72 indicates the City of Coronado should conduct an interview of another contact, that is, a manager of another completed project. A score of 72 or higher on each interview is sufficient for prequalification.

First, please give a brief description of the project.

1. Are there any outstanding stop notices, liens, or claims by the contractor that are currently unresolved on contracts for which notices of completion were recorded more than 120 days ago? (1 point for each is deducted from overall score; maximum amount to be deducted is 5 points)

2. On a scale of 1-10, with 10 being the best, did the contractor provide adequate personnel? (Max. 10 points)

3. On a scale of 1-10, with 10 being the best, did the contractor provide adequate supervision? (Max. 10 points)

4. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job? (Max. 10 points)

5. On a scale of 1-10, with 10 being the best, was the contractor timely in providing reports and other paperwork, including change order paperwork and scheduling updates? (Max. 10 points)

6. On a scale of 1-10, with 10 being the best, did the contractor adhere to the project schedule that your [agency] [business] approved? (Max. 10 points)

7. Was the project completed on time? (10 points if the answer is “Yes”). Or, if the answer is “no,” on a scale of 1-10, with 10 being the best, to what extent was the contractor responsible for the delay in completion?

8. On a scale of 1-10, with 10 being the best, rate the contractor on the timely submission of reasonable cost and time estimates to perform change order work. (Max. 10 points)

9. On a scale of 1-10, with 10 being the best, rate the contractor on how well the contractor performed the work after a change order was issued and how well the contractor integrated the change order work into the existing work. (Max. 10 points).
10. On a scale of 1-10, with 10 being the best, rate how the contractor has been performing in the area of turning in Operation & Maintenance manuals, completing as-built drawings, providing required training, and taking care of warranty items. (Max. 10 points)

11. On a scale of 1-10, with 10 being the best, rate the contractor on whether there were an unusually high number of claims, given the nature of the project, or unusual difficulty in resolving them. (Max. 10 points)

12. Did the project include a complex dewatering system during construction? If so, did the contractor develop an effective plan that understood the complexity of the dewatering needed? Was the contractor successful in implementing and maintaining the system? Did any significant issues occur with the dewatering system? If so, how did the contractor solve them? (Max. 10 points)

13. On a scale of 1-10, with 10 being the best, how would you rate the quality of the work overall? (Max. 10 points)