

**ANNOUNCEMENT FOR PRE-QUALIFICATION FOR THE  
OLIVENHAIN MUNICIPAL WATER DISTRICT'S FY 2021-2023  
VALVE REPLACEMENT EXCAVATION AND PAVING SUPPORT  
SERVICES PROJECT**

Notice is hereby given that on November 6, 2013, the Board of Directors of the Olivenhain Municipal Water District (hereafter District) determined that all bidders on the Request for Bid released under the Valve Replacement Excavation and Paving Support Services Projects to be undertaken by the District must be pre-qualified prior to submitting bids for the projects. It is mandatory that all Licensed Contractors who intend to submit bids for the Valve Replacement Excavation and Paving Support Services Projects fully complete the pre-qualification questionnaire, provide all materials requested herein, and be approved by District to be on the final Bidders list. No bid for any work released under the Valve Replacement Excavation and Paving Support Services Projects will be accepted from a Contractor that has failed to comply with these requirements.

Notices inviting bids for work that will be covered under this prequalification process will clearly state the prequalification requirements. It is anticipated that the District will release one (1) bid for fiscal year 2021-2022 and one (1) bid for fiscal year 2022-2023 for work covered under this program. The estimated value of this work is \$800,000 per fiscal year but no specific amount is guaranteed. The general nature of the work related to this prequalification consists of:

- Removal of asphalt and excavation of soil around specified valves to prepare for District crews to replace the valves. The exact quantity of excavations per project is unknown and not guaranteed but is expected to be approximately 80 per each of the two (2) fiscal years.
- Proper shoring of all excavations.
- Placement of flush mounted traffic plates over open excavations.
- Once the District completes its work the contractor will return to backfill the excavation and perform final paving.

This list is to provide the contractor with examples of services that may be needed during the life of the period for which the contractor is pre-qualified. However, there is no guarantee of the quantity or type of work that will actually be needed.

If two or more business entities submit a bid on a project as 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.

***Note that this prequalification process only applies to the Valve Replacement Excavation and Paving Support Services Projects and does not apply to any other public works projects that the District may release for bid.***

Contractors who submit a complete pre-qualification package will be notified by email of their qualification status, such notice to be sent no later than fifteen business days after submission of

the information.

Answers to questions contained in the attached questionnaire, information about current bonding capacity on an aggregate and per project limit, notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information, are required. Contractors must have the ability to bond for up to \$2,000,000. District reserves the right to check other sources available. The District's decision will be based on objective evaluation criteria.

Pre-qualification approval will remain valid for two (2) fiscal years from the date of notice of qualification, except that the District reserves the right during those fiscal years to adjust, increase, limit, suspend or rescind the pre-qualification ratings based on subsequently learned information and after giving notice of the proposed action to the Contractor and an opportunity for a hearing consistent with the hearing procedures described below for appealing a pre-qualification determination.

In addition, any Contractor who is granted pre-qualification and subsequently is awarded a contract under this pre-qualification process may have their pre-qualification rescinded based on a failure to perform the contract in an appropriate manner. Pre-qualification may be rescinded by the District based on, but not limited to, the following criteria:

- Failure to complete work in accordance with approved project schedules.
- Failure to complete work in accordance with project specifications.
- Failure to provide proper traffic control at work sites.
- Failure to protect existing pipelines and other utilities from damage during excavation.
- Failure to properly grind the pavement around excavations and set traffic plates in the recessed pavement surface.
- Failure to backfill the excavations properly.
- Failure to pave the finished roadway properly.
- Failure to maintain a job site in a neat and orderly fashion.
- Failure to install and maintain stormwater BMPs as required by law.
- Failure to follow OSHA and other government mandated Safety regulations.
- Excessive complaints from local residents about contractor's work habits.

If the District makes a finding that any of the above criteria are not being met, the Contractor will be given written notice about this finding and will be given 48 hours to correct the deficiency where applicable. Failure to correct deficiencies will result in the District rescinding the pre-qualification of the Contractor. The Contractor may appeal this rescission using the procedures described below.

While it is the intent of the pre-qualification questionnaire and documents required therewith to assist the District in determining bidder responsibility prior to the submission of bids and to aid District in selecting the lowest responsible and responsive bidder, neither the fact of pre-qualification, nor any pre-qualification rating, will preclude District from a post-bid consideration and determination on a specific project of whether a bidder has the quality, fitness,

capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness. Contractors are encouraged to submit pre-qualification packages as soon as possible, so that they may be notified of pre-qualification status well in advance of upcoming project(s).

The pre-qualification packages should be submitted under seal and marked “CONFIDENTIAL - PREQUALIFICATION DOCUMENTS FOR VALVE REPLACEMENT EXCAVATION AND PAVING SUPPORT SERVICES PROJECTS” to:

Olivenhain Municipal Water District  
Attn: Geoff Fulks, Operations Manager  
1966 Olivenhain Road  
Encinitas, CA 92024

The Pre-qualification Package shall contain one (1) hard copy of the Prequalification Package, plus an electronic version submitted to [gfulks@olivenhain.com](mailto:gfulks@olivenhain.com). Please note that due to COVID-19 restrictions, the District offices are closed to the public. A box will be provided outside the front lobby for submission.

The pre-qualification packages (questionnaire answers and financial statements) submitted by Contractors are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law, although the contents may be disclosed to third parties for the purpose of verification, investigation of substantial allegations, and in the process of an appeal hearing. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure, and the first 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 District and provide updated accurate information in writing, under penalty of perjury.

The District reserves the right to waive minor irregularities and omissions in the information contained in the pre-qualification application submitted, to make all final determinations, and to determine at any time that the pre-qualification procedures will not be applied to a future public works project.

The Pre-qualification Package, its completion and submission by the Contractor, and its use by the District, shall not give rise to any liability on the part of the District to the Contractor or any third party or person. This is not a solicitation for bid. No guarantees are made or implied that any project will be constructed, either in part or whole. The Contractor accepts all risk and cost associated with the completion of the Pre-qualification Package without financial guarantee.

A contractor who has submitted a completed application form, and who receives a rating of “not qualified” from the District may appeal that determination. There is no appeal from a finding

that a contractor is not pre-qualified because of a failure to submit required information. A contractor may appeal the District's decision with respect to its request for pre-qualification, and request a hearing, by giving notice to the District no later than ten business days after receipt of notice of its qualification status. Unless a Contractor files a timely appeal, the Contractor waives any and all rights to challenge the qualification decision of the District, whether by administrative process, judicial process or any other legal process or proceeding.

If the Contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than ten business days after the District's receipt of its Notice of Appeal. The hearing so provided shall be an informal process conducted by a panel to whom the District's Board of Directors 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 District's pre-qualification determination. The Contractor will be given the opportunity to present information and present reasons in opposition to the pre-qualification determination. At the conclusion of the hearing or no later than one day after completion of the hearing, the Appeals Panel will render its decision. The date for submission and opening of bids for a specific project will not be delayed or postponed to allow for completion of an appeal process.

**Note:** A contractor may be found not pre-qualified for bidding on a specific public works contract to be let by the District, or on all contracts to be let by the District until the contractor meets the District's requirements. In addition, a contractor may be found not pre-qualified for either:

- (1) Omission of requested information or
- (2) Falsification of information

**INSTRUCTIONS FOR PREPARATION AND SUBMISSION OF  
PRE-QUALIFICATION PACKAGES FOR  
OLIVENHAIN MUNICIPAL WATER DISTRICT  
VALVE REPLACEMENT EXCAVATION AND  
PAVING SUPPORT SERVICES PROJECTS**

Each Contractor wishing to bid on contracts related to the Valve Replacement Excavation and Paving Support Services Projects (hereafter “Project”) must fully complete the pre-qualification package (“Pre-qualification Package”), including but not limited to, the Statement of Qualifications questionnaire (“Questionnaire”), provide all information and materials requested and satisfy the pre-qualification criteria.

The names of all pre-qualified Contractors who may bid on the Project will be listed in the Project bid documents, including the Notice Inviting Bids.

Each Pre-qualification Package must be completed with all information requested and be signed under penalty of perjury by an individual who has the legal authority to bind the Contractor on whose behalf that person is signing. The District must receive all Pre-qualification Packages and materials requested therein by the date and time stated in the Notice Requesting Pre-qualification of Bidders (“Notice”). Pre-qualification Packages received after that time will be returned unopened, and the Contractor will not be eligible to participate in bidding for the contract to construct the Project. Incomplete, unsigned, and/or non-current Pre-qualification Packages will be returned without review at The District’s discretion and the Contractor will not be eligible to participate in bidding for the contract to construct the Project.

Attach additional sheets as needed to provide complete responses.

Except where information related to former entities is expressly required herein, for purposes of evaluation, scoring and prequalification, all required Contractor’s information, including but not limited to experience, personnel and finances, must be provided for the entity holding the Contractor's license. Information related to parent companies, subsidiaries and any other related entity or proposed subcontractors will not be considered.

The pre-qualification of prospective bidders will be determined by evaluation of the information submitted by prospective bidders. The District may verify any or all information provided in completed Pre-qualification Package, consider information provided by sources other than the prospective bidder, and conduct such investigations as the District deems appropriate to assist in the evaluation of contractor's responsibility, qualifications and financial capacity.

If the Contractor seeking pre-qualification has not been in business for the time period for which information is requested, it shall submit information on predecessor entities covering that time period.

The District will evaluate all completed Pre-qualification Packages on a Pass/Fail basis as well as a points-based rating system. In order to pre-qualify for this Project, Contractor must obtain a “Pass” rating on all of the criteria set forth in Part I and meet the minimum rating requirements of the District for Parts II and III. Those Contractors who do not obtain a “Pass” rating for all of the criteria in Part I will not be pre-qualified to participate in bidding for the contract to construct the Project regardless of the scores obtained in Parts II and III.

Neither issuing the Notice nor any other activity related to the pre-qualification process, obligates the District to award a contract for construction of a Project to a particular Contractor, or at all.

The District reserves the right to determine that any Contractor is not qualified at any time before or after the Pre-qualification Packages are received and evaluated if it finds that the information provided in the response to the Notice is materially inaccurate or false, or upon evidence of collusion or other illegal practices on the part of a contractor. If any information provided by a prospective Contractor becomes inaccurate, the contractor shall notify the District and provide updated accurate information in writing and under penalty of perjury.

The District will notify prospective Contractors of the result of the pre-qualification process in writing. Any question or objection to the pre-qualification materials, or explanation desired by a prospective Contractor regarding the meaning or interpretation of the Pre-qualification Package and related materials, must be requested in writing by e-mail, five (5) business days prior to pre-qualification submittal date. Oral explanations or instructions will not be binding unless issued as a formal addendum to the Pre-qualification Package. Any information provided to any prospective Contractor concerning a solicitation will be furnished to all prospective contractors who requested a Pre-qualification Package. All prospective Contractors must acknowledge the receipt of any/all addenda on the form and in the manner required with each addendum. By submitting a completed Pre-qualification Package, the prospective Contractor waives any and all objections to the form and content of the Pre-qualification Package, or the evaluation criteria.

Contractors should submit questions in writing regarding the Pre-qualification Package to the District as follows:

Valve Replacement Project Pre-Qualification Package  
Attn: Geoff Fulks, Operations Manager  
Olivenhain Municipal Water District  
1966 Olivenhain Road  
Encinitas, CA 92024  
gfulks@olivenhain.com

**VALVE REPLACEMENT EXCAVATION AND  
PAVING SUPPORT SERVICES PROJECT**

**PREQUALIFICATION APPLICATION FORM**

**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 6 is “no.”<sup>1</sup>**

**Contractor will be immediately disqualified if the answer to any of questions 7, 8, 9 or 10 is “yes.”<sup>2</sup> If the answer to question 9 is “yes,” and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.**

1. Contractor possesses a valid and current California Contractor’s license for the project or projects for which it intends to submit a bid.

Yes       No

2. Contractor has a 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.<sup>3</sup>

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.**

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<sup>1</sup> 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.

<sup>2</sup> A contractor disqualified solely because of a “Yes” answer given to question 7, 8, 9, or 10 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

<sup>3</sup> Public Contract Code section 20101(e) exempts from this requirement a contractor who has qualified as a small business pursuant to Government Code section 14837(d)(1), if the bid is “no more than 25 per cent of the qualifying amount provided in section 14837(d)(1).” As of January 1, 2001, the qualifying amount is \$10 million, and 25 per cent of that amount, therefore, is \$2.5 million.



5. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states your current available bonding capacity?<sup>4</sup>

Yes       No

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

6. Contractor has completed at least six (6) projects within the last five (5) years which meet **all** of the following specific conditions:

1. Each project involved the following types of construction activities:
  - a. Excavation projects around live water pipelines and other wet and dry utilities
  - b. Working in narrow residential streets
  - c. Planning, and executing approved traffic control systems
  - d. Shoring of excavations
  - e. Grinding of pavement for the placement of traffic plates
  - f. Proper backfill and compaction methods
  - g. Finished paving in accordance with the standards of the City of Carlsbad, the City of Encinitas, or the County of San Diego
  
2. Projects must have been completed by the Contractor, or by a subcontractor under the direct supervision of, and with a written agreement with the Contractor. Documentation of this agreement will be required if subcontractors are to be used on this Project.

Note that the District will confirm all of the listed categories of project experience through project reference interviews

Yes       No

7. Has your contractor's license been revoked at any time in the last five years?

Yes       No

8. 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

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<sup>4</sup> An additional notarized statement from the surety may be requested by OMWD at the time of submission of a bid, if this pre-qualification package is submitted more than 60 days prior to submission of this bid.

9. 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:

10. 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% 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:

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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.

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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.

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**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).

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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: Provide documentation from your surety identifying the

following: Name of bonding company/surety: \_\_\_\_\_

Name of surety agent, address and telephone number:

\_\_\_\_\_

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

\_\_\_\_\_

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

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

Yes       No

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

**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 1.00 or higher you may, if you wish, attach a letter of explanation.

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

Yes       No

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

## Prevailing Wage and Apprenticeship Compliance Record

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

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

Yes       No

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

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

Yes       No

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

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

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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.

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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**

39. 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.<sup>6</sup> Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information:

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

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

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

Owner Contact (name and current phone number):

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<sup>6</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.

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:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

**FOR INFORMATION ONLY, DO NOT SUBMIT**

**SCORABLE QUESTIONS AND THE SCORING INSTRUCTIONS**

This section contains information on how the District will score the response from applicants. Please do not submit this section – it is informational in nature only. Scorable questions arise in three different areas:

- **History of the business and organizational performance**
- **Compliance with occupational safety and health laws, workers' compensation and other labor legislation**
- **Completion of recent projects and quality of performance**

**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 = 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 last 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 last five years?

Yes       No

**“No” = 5 points      “Yes” = 0 points**

5. 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

***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 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

*No = 5 points    Yes = 0 points*

7. 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

*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 last 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 last 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 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

*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 last 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 last 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 *[Public Entity]*.

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*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 employer by your firm.*

11. 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).

*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.*



## PROJECT REFERENCE INTERVIEW QUESTIONS

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

The highest possible score is 120 Points. A score less than 55 points disqualifies a contractor from bidding on projects that are proposed by the District for the Valve Replacement Excavation and Paving Support Projects. A score of between 56 and 72 indicates the District should conduct an interview of another contact, that is, a manager of another completed project. A score of 72 or higher on each of two interviews is sufficient for pre-qualification. Note that a score of zero on any of the categories listed in Question 10 across all referenced projects will disqualify a contractor from bidding on projects that are proposed by the District for the Valve Replacement Excavation and Paving Support Services Projects. Contractors must demonstrate proficiency in each of the categories listed in Question 10 on at least one reference project. Every category does not need to be demonstrated in every reference project.

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 has the contractor been performing in the following areas (a score of zero shall be applied if the contractor did not perform any work in the category) :
  - Excavation projects around live water pipelines and other wet and dry utilities
  - Working in narrow residential streets
  - Planning, and executing approved traffic control systems
  - Shoring of excavations
  - Grinding of pavement for the placement of traffic plates
  - Proper backfill and compaction methods
  - Finished paving in accordance with the standards of the City of Carlsbad, the City of Encinitas, or the County of San Diego

(Average score will be used. A score of zero in any category may be grounds for disqualification - 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. On a scale of 1-10, with 10 being the highest, rate the contractor with respect to timely payments by the contractor to either subcontractors or suppliers. (If the person being interviewed knows of no such difficulties, the score on this question should be “10.”)
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)