



## NWP NACIMIENTO WATER PROJECT

San Luis Obispo County Flood Control & Water Conservation District

### REQUEST FOR PRE-QUALIFICATION

#### HORIZONTAL DIRECTIONAL DRILLING (HDD) SERVICES NACIMIENTO WATER PROJECT - PIPELINE

January 24, 2007

San Luis Obispo County Flood Control and Water Conservation District (District) is requesting a pre-qualification package for the performance of horizontal directional drilling (HDD) services for the Nacimiento Water Project (Project).

The purpose of this pre-qualification process is to provide qualified contractors the ability to be listed as an approved subcontractor for HDD services in the contract documents for District Specifications 300187-08.03, 300187-08.04 and 300187-08.05. This request for pre-qualification only applies to **HDD services** for the subject contracts. A separate request for pre-qualification is available for contractors intending to pre-qualify for Intake construction.

The District will be accepting sealed Pre-Qualification Packages in response to this request until 5:00 pm on February 13, 2007 at the following address:

County of San Luis Obispo  
County Government Center, Room 207  
San Luis Obispo, CA 93408  
Attn: John R. Hollenbeck, P.E.

For technical questions or other information requests, email Paul Kneitz, Black & Veatch Corporation, at [kneitzpr@bv.com](mailto:kneitzpr@bv.com). Please cc these requests to Brian McNamara, Black & Veatch Corporation, at [mcnamarabv@bv.com](mailto:mcnamarabv@bv.com), and John Hollenbeck, San Luis Obispo County Flood and Water Conservation District, at [jhollenbeck@co.slo.ca.us](mailto:jhollenbeck@co.slo.ca.us). Submitted information requests and subsequent responses will be made available on the Project website at <http://www.slocounty.ca.gov/PW/NacWP.htm>.

#### Attachments:

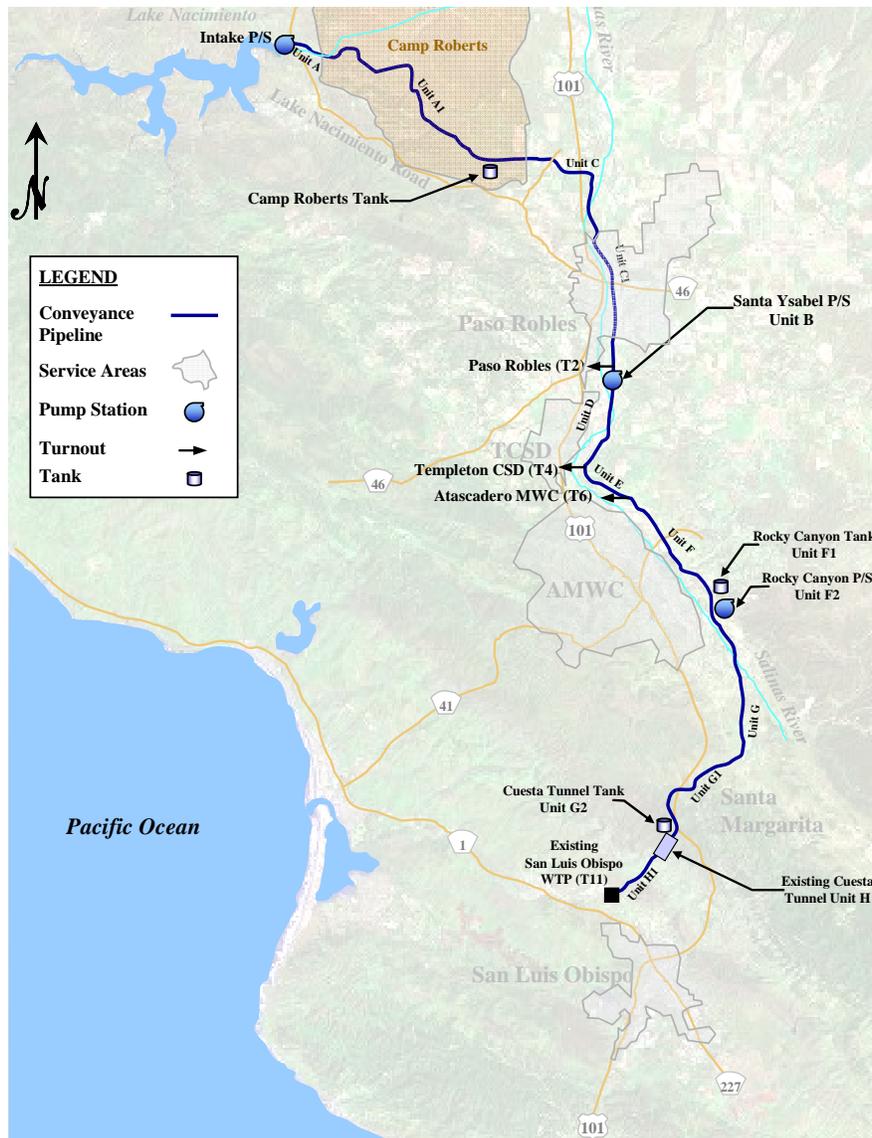
- Project Description & Pre-Qualification Schedule
- Request for Pre-Qualification
- HDD Contractor Pre-Qualification Questionnaire
- Pre-Qualification Scoring

Request For Pre-Qualification  
Horizontal Directional Drilling (HDD) Services  
Nacimiento Water Project - Pipeline

## PROJECT DESCRIPTION & PRE-QUALIFICATION SCHEDULE

### Nacimiento Project Description

Located in the central coast of California, the San Luis Obispo County Flood Control and Water Conservation District (District) is implementing the Nacimiento Water Project (NWP), a raw water conveyance system to deliver 15,750 acre-feet annually from Lake Nacimiento to participating agencies including City of Paso Robles, City of San Luis Obispo, Atascadero Mutual Water Company, Templeton Community Services District, and County Service Area No. 10, Zone A. In 2005, Black & Veatch Corporation, Irvine, California, was selected to perform final design of the \$185 million project, which is scheduled to be in operation by 2010.



Request For Pre-Qualification  
 Horizontal Directional Drilling (HDD) Services  
 Nacimiento Water Project - Pipeline

**HDD Construction Description**

Key elements of the Project pipeline construction are the several river crossings to be performed by HDD construction, summarized as follows:

Site	District Specification	Diameter (inches)	Approximate Length (feet)
Nacimiento River Crossing	300187-08.03	30 or 36	1,800
Salinas River Crossing – North	300187-08.03	30 or 36	1,100
Paso Robles Turnout <sup>1</sup>	300187-08.04	24	1,500
Salinas River Crossing – Middle	300187-08.04	24 or 30	2,800
TCSD Turnout <sup>1</sup>	300187-08.04	8	800
AMWC Turnout <sup>1</sup>	300187-08.04	18	1,200

District Specifications 300187-08.03, 300187-08.04 and 300187-08.05 are scheduled to be advertised for bidding in Spring 2007, with pipeline construction scheduled to begin in 2008.

**Pre-Qualification Schedule**

The Pre-Qualification Schedule is summarized in the following table.

Request for Pre-Qualification Advertisement	January 24, 2007
Pre-Qualification Packages Due	February 13, 2007
District Selection of Pre-Qualified Contractors	February 27, 2007

**Pre-Qualification Proposal Package Requirements**

Instructions for completion of the Pre-Qualification Package are provided in the attachment titled **REQUEST FOR PRE-QUALIFICATION**. The Contractor must also complete the attachment entitled **PRE-QUALIFICATION QUESTIONNAIRE** and supporting documents, as required. The Pre-Qualification Package will be evaluated by the District and assigned a rating. Based on an evaluation of the Pre-Qualification Packages, the District will make its recommendation known to each entity who submits a Pre-Qualification Package.

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<sup>1</sup> Paso Robles, TCSD and AMWC Turnouts include an HDD crossing of the Salinas River.



**REQUEST FOR PRE-QUALIFICATION OF  
HORIZONTAL DIRECTIONAL DRILLING (HDD) CONTRACTORS  
ASSOCIATED WITH  
THE NACIMIENTO WATER PROJECT  
COMMENCING WITH FORTHCOMING PUBLIC WORK BID**

Notice is hereby given that the San Luis Obispo County Flood Control and Water Conservation District (District) has determined that all horizontal directional drilling (HDD) contractors on the Nacimiento Water Project, pipeline construction work, must be pre-qualified. It is mandatory that all contractors who intend to submit bids fully complete the pre-qualification questionnaire, provide all materials requested herein, and be approved by the District. Bids submitted by contractors not approved by the District will not be opened at bid time.

If two or more business entities wish to bid as a Joint Venture, or expect to submit a bid as part of a Joint Venture, then a member within the Joint Venture must pre-qualify.

The last date to submit a fully completed questionnaire is February 13, 2007.

Answers to questions contained in the attached questionnaire, information about current bonding capacity, and notarized statement from surety, with accompanying notes and supplemental information, are required. The District will use these documents as the basis of selecting contractors who are qualified to provide HDD construction services. The District reserves the right to check other sources available. The District's decision will be based on objective evaluation criteria.

While it is the intent of the pre-qualification questionnaire and documents required therewith to assist the District in determining contractors qualified to perform HDD construction services and to aid the District in selecting the lowest responsible bidder, neither the fact of pre-qualification, nor any pre-qualification rating, will preclude the District from a post-bid consideration and determination of whether a contractor has the quality, fitness, capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness.

The pre-qualification packages should be submitted under seal and marked "CONFIDENTIAL" to: **SLO County FC & WCD, County Government Center, Room 207, San Luis Obispo, CA 93407; Attn: John R. Hollenbeck, P.E.**

The pre-qualification packages (questionnaire answers) 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, or investigation of substantial allegations, or in the appeal



hearing. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure. 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 specific future public works project.

Contractors may submit pre-qualification packages during regular working hours on any day that the offices of the District are open. Contractors who submit a complete pre-qualification package will be notified of their qualification status in accordance with the pre-qualification schedule specified. The District may refuse to grant pre-qualification where the requested information and materials are not provided, or not provided by **February 13, 2007**.

### **Appeal Process**

There is no appeal for an incomplete or late application, which have been scored not qualified as a result of incompleteness or lateness. The closing time for submission of pre-qualification packages will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

Where a timely and completed application results in a rating below that necessary to pre-qualify, an appeal can be made. An appeal is begun by the Contractor delivering notice to the District of its appeal of the decision with respect to its pre-qualification rating, no later than ten (10) business days after notification of the list of approved subcontractors. Without a timely appeal, the Contractor waives any and all rights to challenge the decision of the District, whether by administrative process, judicial process or any other legal process or proceeding. Upon request of the Contractor, the District shall provide notification to the Contractor in writing of the basis for the Contractor's disqualification and any supporting evidence that has been received from others or adduced as a result of an investigation by the District. The Contractor shall be given the opportunity to rebut any evidence used as a basis for disqualification and to present evidence to the District as to why the Contractor should be found qualified.



**NWP NACIMIENTO WATER PROJECT**  
San Luis Obispo County Flood Control & Water Conservation District

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 (10) business days after the District's receipt of the notice of appeal. The hearing shall be an informal process conducted by a panel to whom the District Board of Supervisors 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 rating. After reviewing the evidence and at the conclusion of the hearing or no later than one (1) business day after the conclusion of the hearing, the Appeals Panel shall render its decision supported by a majority of the members of the panel. The decision of the Appeals Panel shall be final and shall not be appealable to the District's Board of Supervisors. It is the intention of the District that the date for the submission and opening of bids will not be delayed or postponed to allow for completion of an appeal process.

**Note:** A contractor may be found not pre-qualified for bidding on the Nacimiento Water Project contract 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

**Notice:** To contractors who are using subcontractors for this job, please be advised that the District will require a post-bid qualification review of the subcontractor(s) per the qualification requirements specified in the Technical Specifications of the Contract Documents.

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**NWP** NACIMIENTO WATER PROJECT



San Luis Obispo County Flood Control & Water Conservation District

# Nacimiento Water Project HDD Construction Services

## **PRE-QUALIFICATION QUESTIONNAIRE**

**PRE-QUALIFICATION QUESTIONNAIRE**

**CONTACT INFORMATION**

For contractor applying for pre-qualification to submit a bid to perform HDD construction services:

Contractor Name: \_\_\_\_\_ Check One:  Corporation  
(as it appears on license)  Partnership  
 Sole Prop.  
 Joint Venture

Contact Person: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

If firm is a sole proprietor or partnership:

Owner(s) of Company \_\_\_\_\_

Contractor's License Number(s):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



**PRE-QUALIFICATION QUESTIONNAIRE**

**PART I. 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 percent 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 percent or more of the business, or 10 percent or more of its stock, if the business is a corporation.**

Person’s Name	Construction Firm	Dates of Person’s Participation with Firm



**PRE-QUALIFICATION QUESTIONNAIRE**

**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 percent 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 percent or more of the business, or ten percent or more of its stock, if the business is a corporation.**

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



**PRE-QUALIFICATION QUESTIONNAIRE**

**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 percent or more of the business, or ten percent or more of its stock, if the business is a corporation.**

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



**PRE-QUALIFICATION QUESTIONNAIRE**

**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



**PRE-QUALIFICATION QUESTIONNAIRE**

**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       No Answer – Publicly Traded Corporation

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 percent 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:

\_\_\_\_\_                      \_\_\_\_\_                      \_\_\_\_\_  
(last year)                      (two years ago)                      (three years ago)

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.



**PRE-QUALIFICATION QUESTIONNAIRE**

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 Contractors State License Board (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.

### PRE-QUALIFICATION QUESTIONNAIRE

#### 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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**PRE-QUALIFICATION QUESTIONNAIRE**

**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.



**PRE-QUALIFICATION QUESTIONNAIRE**

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.

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

**PRE-QUALIFICATION QUESTIONNAIRE**

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

Yes       No

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

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

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

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

Yes       No

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

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

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

Yes       No

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

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

**PRE-QUALIFICATION QUESTIONNAIRE**

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

Yes       No

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

29. 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.

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

Yes       No

If “yes,” please explain the reason for the absence of workers’ compensation insurance on a separate signed page.

- 30a. Does your firm have a documented Health & Safety Policy?

Yes       No

**Liability Insurance Policy Coverage**

31. Contractor has a liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$5,000,000 aggregate.

Yes       No

**PRE-QUALIFICATION QUESTIONNAIRE**

**PART II. ESSENTIAL REQUIREMENTS FOR QUALIFICATION**

**Contractor will be immediately disqualified if the answer to any of questions 32 through 34 is “no.”**

**Contractor will be immediately disqualified if the answer to any of questions 35, 36, 37 or 38 is “yes.”<sup>1</sup> If the answer to question 37 is “yes,” and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.**

32. 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       Check here if you are an out-of-state contractor who performed the work described and have applied for and will have a valid California Contractor’s license before submitting a bid on this project

33. 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

34. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states: (a) that your current bonding capacity is sufficient for the project for which you seek pre-qualification if you are seeking pre-qualification for a single project; or (if you are seeking pre-qualification valid for a year) (b) your current available bonding capacity?<sup>2</sup>

- Yes       No

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

<sup>1</sup> A contractor disqualified solely because of a “Yes” answer given to questions 35, 36, or 38 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

<sup>2</sup> An additional notarized statement from the surety may be requested by *Public Entity* at the time of submission of a bid, if this pre-qualification package is submitted more than 60 days prior to submission of the bid.



**PRE-QUALIFICATION QUESTIONNAIRE**

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

Yes       No

36. 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

37. 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:

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38. 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

**PRE-QUALIFICATION QUESTIONNAIRE**

**PART III. RECENT CONSTRUCTION PROJECTS COMPLETED**

39. Contractor shall provide information about the most recently completed projects within the last ten (10) years that have construction elements as specified below<sup>3</sup>. Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information:

Firms seeking pre-qualification will be graded on the basis of how closely their listed project experience meets the following criteria:

1. HDD projects of 24-inches or larger in finished diameter and 1,500 feet or greater in length.

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

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

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

Owner Contact (name and current phone number):  
\_\_\_\_\_

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

Construction Manager (name and current phone number):  
\_\_\_\_\_

Description of Project, Scope of Work Performed:  
\_\_\_\_\_  
\_\_\_\_\_

<sup>3</sup> If you wish, you may, using the same format, also provide information about other projects that you have completed that are similar to the project(s) for which you expect to bid. Specify the geometric parameters of each project.



**PRE-QUALIFICATION QUESTIONNAIRE**

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

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

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

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

\* \* \* \* \*



**PRE-QUALIFICATION QUESTIONNAIRE**

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

Dated: \_\_\_\_\_

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Print Name)

\_\_\_\_\_  
(Title)





# PRE-QUALIFICATION SCORING

## A LIST OF THE SCORABLE QUESTIONS AND THE SCORING INSTRUCTIONS

The scorable questions arise in three different areas:

- PART I      Organization, History, Organizational Performance, Compliance With Civil And Criminal Laws
- PART II      Essential Requirements for Qualification
- PART III     Recent Construction Projects Completed

The interview questions (interviews by the District with project managers of the contractor's clients on projects completed recently by the contractor) are included in Part III; this last category addresses the scoring of recently completed projects that are similar to this project.

**Note:** Not all questions in the questionnaire are scorable; but all questions must be completed for qualification. This document includes only those questions that are "scorable." The question numbers in this document correspond to numbers used in the questionnaire.

### The Scores Needed for Prequalification

To pre-qualify, a contractor would be required to have a passing grade within each of the three parts referred to above.

For PART I, a passing score of **70** is required out of a maximum score of **104**.

For PART II, scoring is not applicable; rather each item answered either yes or no will determine whether a contractor is to be disqualified or not.

PART III includes questions about recently completed (public or private) construction projects. The District will interview project managers for the owners of completed projects. A passing score of **20** is required on this portion of the questionnaire.

PART I Organization, History, Organizational Performance, and Compliance with Civil and Criminal Laws

1. Question not scorable, but must be completed to qualify.
2. Question not scorable, but must be completed to qualify.
3. Question not scorable, but must be completed to qualify.
4. Question not scorable, but must be completed to qualify.
5. Question not scorable, but must be completed to qualify.

6.

<b>Years in Business in California</b>	<b>Points Awarded</b>
3 or less	2
4	3
5	4
6 or more	5

7.

<b>Firm Currently Debtor in Bankruptcy Case</b>	<b>Points Awarded</b>
Yes	0
No	3

8.

<b>Firm In Bankruptcy in the Last 5 Years</b>	<b>Points Awarded</b>
Yes	0
No	3

9. Question not scorable, but must be completed to qualify.
10. Question not scorable, but must be completed to qualify.
11. Question not scorable, but must be completed to qualify.
12. Question not scorable, but must be completed to qualify.

13.

<b>CSLB License Suspended in the Last 5 Years</b>	<b>Points Awarded</b>
Yes	0
No	5

14.

<b>Instances in Last 5 Years</b>	<b>Liquidated Damages &lt; or = \$50,000</b>	<b>Liquidated Damages &gt; \$50,000</b>
0	5	0
1	5	0
2	0	0

15.

<b>Firm Debarred or Disqualified in the Last 5 Years</b>	<b>Points Awarded</b>
Yes	0
No	5

16.

<b>Firm Found To Be An Irresponsible Bidder in the Last 5 Years</b>	<b>Points Awarded</b>
Yes	0
No	5

17.

<b>Court Claims Against Firm in Last 5 Years</b>	<b>Avg. Annual Gross Revenue &lt; or = \$50 Million</b>	<b>Avg. Annual Gross Revenue &gt; \$50 Million</b>
	<b>Yes</b>	<b>Yes</b>
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

18.

Court Claims Filed by Firm in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

19.

Bond Claims Paid by Surety in Last 5 Years	Yes	No
1	5	5
2	3	
>2	-5	

20.

Policy Renewals Refused by Insurance in Last 5 Years	Yes	No
1	5	5
2	3	
>2	0	

21.

Found Liable or Guilty in Civil Suit or Criminal Action for False Claims	Awarded Points
Yes	-5
No	5

22.

<b>Convicted of a Const. Related Crime on Federal, State or Local Law Level</b>	<b>Awarded Points</b>
Yes	-5
No	5

23.

<b>Convicted of Fraud or Theft on Federal or State Level</b>	<b>Awarded Points</b>
Yes	-5
No	5

24.

<b>Performance Bond Premium Percentage for Last 3 Years</b>	<b>Points Awarded</b>
< or = 1%	5
> 1% and < 1.10%	3
> 1.1%	0

25.

<b>Firm Denied Bond Coverage in Last 5 Years</b>	<b>Points Awarded</b>
Yes	0
No	5

26.

<b>Cal OSHA Citations in Last 5 Years</b>	<b>Avg. Annual Gross Revenue &lt; or = \$50 Million</b>	<b>Avg. Annual Gross Revenue &gt; \$50 Million</b>
	<b>Yes</b>	<b>Yes</b>
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

27.

Federal OSHA Citations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

28.

Environmental Citations in Last 5 Years	Avg. Annual Gross Revenue < or = \$50 Million	Avg. Annual Gross Revenue > \$50 Million
	Yes	Yes
0	5	5
1	5	5
2	3	5
3	0	5
4	0	3
5	0	3
>5	0	0

29.

Average EMR for Past 3 Years	Points Awarded
0.95 or Less	5
Between 0.95 and 1.00	3
Other	0

30.

Period(s) without Worker's Comp	Points Awarded
0-1	5
Other	0



30a. Question not scorable, but must be completed to qualify.

31.

<b>Liability Insurance \$2 Million per Occurrence / \$5 Million Aggregate</b>	<b>Points Awarded</b>
Yes	3
No	0

PART II Essential Requirements for Qualification

32.

<b>Contractor has Valid California Contractor's License</b>	<b>Qualification</b>
Yes	OK
No	Disqualified

33.

<b>Contractor has Current Worker's Comp or Self-Insured</b>	<b>Qualification</b>
Yes	OK
No	Disqualified

34.

<b>Notarized Statement Attached of Surety Insurer</b>	<b>Qualification</b>
Yes	OK
No	Disqualified

35.

<b>License Revoked at any Time in Last 5 Years</b>	<b>Qualification</b>
Yes	Disqualified
No	OK

36.

<b>Surety Completed a Contract on Your Behalf in Last 5 Years</b>	<b>Qualification</b>
Yes	Disqualified
No	OK

37.

<b>Firm Ineligible to Bid on Public Works Contract</b>	<b>Qualification</b>
Yes	Disqualified
No	OK
Debarment	OK

38.

<b>Firm Convicted of Crime Involving the Awarding of a Contract of a Govt. Project in Last 5 Years</b>	<b>Qualification</b>
Yes	Disqualified
No	OK

**Note:** A contractor disqualified solely because of a “Yes” answer given to questions 35, 36, or 38 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

**PART III      Recent Construction Projects Completed**

**Note:** Firms seeking pre-qualification will be graded on the basis of how closely their listed project experience meets the criteria indicated in the Pre-Qualification Questionnaire.

	<b>HDD Construction</b>
Project **	Directly Performed Work (5 Points Each Project *)
Project A	
Project B	
Project C	
Project D	
Project E	
Project F	
Project G	
Project H	
Project I	
Project J	
Project K	
Project L	
Project M	
Project N	
Project O	
	Minimum 20 Points
<b>TOTALS</b>	

**\* Scoring will be performed on projects having specified geometric conditions in Question 39. Projects with geometric parameters similar to but outside those specified will be evaluated and scored over a range of 0 to 3 points based on the applicability of your project to that of the Nacimiento Water Project.**

**\*\* Number of projects is not limited to the fifteen (15) slots provided in this chart.**

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