

***Request for Statements of Qualifications for
Bidding Subcontractors
for the new County Office Building 3 and Parking
Structure at the County Government Center,
Redwood City, CA and for the San Mateo Health
System Campus Upgrade Project, San Mateo, CA***



***County of San Mateo
Project Development Unit***

Issued: October 25, 2018

Responses due: November 28, 2018 at 2:30 pm to <https://dbinbox.com/SMCPDU>.

Sam Lin, Manager
County of San Mateo Project Development Unit
1402 Maple Street
Redwood City, CA 94063
Email: slin@smcgov.org

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FOR

County Office Building 3 (COB-3) and Parking Structure (PS-2) Projects

Redwood City, California

San Mateo Health System Campus Upgrade Project Admin & Link Projects

San Mateo, California

October 25, 2018

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Items shown in Blue are needed for submission to the County of San Mateo

NOTICE INVITING STATEMENTS OF QUALIFICATIONS
FOR BIDDING SUBCONTRACTORS FOR ELEVATORS

Public Contract Code §20146

I. PREQUALIFICATION PROCESS

Introduction: The County of San Mateo ("Owner" or "County") invites "Request for Statements of Qualifications" ("RFSOQ") submittals from highly qualified bidding trade subcontractors ("Proposers") interested in contracting with Truebeck Construction, the project's Construction Manager at-Risk ("CMR") to provide construction services for both the County's new County Office Building 3 ("COB-3") and Parking Structure Project ("PS-2") in Redwood City California ("Project") and the new Administration Building, Link Building and Sitework projects ("Project") at the San Mateo Medical Center in San Mateo, California.

Selection Process: The prequalification will be a one-step process. The County of San Mateo and Truebeck Construction have determined that specialty trade subcontractors who plan to participate in the competitive bidding selection process for any of Bid Packages for these projects must be prequalified in order to participate in the bidding selection process.

Prequalification requires an accurate completion and submission of a written Statement of Qualification questionnaire response by all interested trade subcontractors. These responses will be evaluated by the County of San Mateo and Truebeck Construction and will establish a trade subcontractor's prequalification status for bidding. Prequalification documents consisting of this **REQUEST FOR STATEMENT OF QUALIFICATIONS** together with the **PREQUALIFICATION QUESTIONNAIRE** will be available to intending bidders beginning on **October 25th, 2018** at <https://www.smcpdu.org> and on Building Connected.

Any questions or requests for clarifications or interpretation of the Prequalification Documents must be submitted in writing to the following team members by **Monday, November 12th, 2018 by 5PM:**

- Steve Tekunata, Truebeck Construction @ steve.tekunata@truebeck.com
- Jim Murphy, Truebeck Construction @ jim.murphy@truebeck.com
- Paul Hundal, Project Manager, Project Development Unit @ ahundal@smcgov.org
- Catherine Chan, Project Manager, Project Development Unit @ c_cchan3@smcgov.org
- Sam Lin, Manager, Project Development Unit @ slin@smcgov.org

Questions received after the above-noted deadline may be answered at the discretion of CMR and the County of San Mateo.

Revisions and question responses will be posted at <https://www.smcpdu.org> and Building Connected by **November 15, 2018**. Prospective bidders will be responsible to check the website above on date indicated to download any addendums.

Notice Inviting Statements of Qualifications: Submissions must occur no later than 2:30 pm on Wednesday, November 28th, 2018. Proposer is required to upload an electronic soft copy in PDF of the above same submittal with filename "[Your Firm Name] CoSM Truebeck RFSOQ" to <https://dbinbox.com/SMCPDU> .

Proposer can also, but not required, hand deliver **one printed (1) original, signed RFSOQ submittal, together with one (1) additional bound copy** to be delivered in a sealed package labeled on the cover **"[Your Firm Name] CoSM Truebeck RFSOQ"** with trade subcontractor's name and address to Sam Lin, Manager, San Mateo County Project Development Unit, 1402 Maple Street, Redwood City, CA 94063.

RFSOQ submittals received late will not be opened or given any consideration for the proposed services. Late submittal(s) will be returned to Proposer(s) unopened. It is the responsibility of the Proposers to ensure that the RFSOQ submittals are received at the specified address by the specified deadline noted in this RFSOQ. All proposals will be date and time stamped upon upload or upon receipt. The County will not be responsible for late or incomplete responses due to mistakes or delays of the Proposer or carrier used by the Proposer or weather delays. However, the County of San Mateo and CMR reserve the right to request, to receive, and to evaluate supplemental information after the above time and date at its sole discretion.

II. PROJECT NOTICE

Truebeck Construction ("CMR") intends to award specialty trade contractor subcontracts by competitive bidding for each project listed below:

- County Office Building 3, Redwood City, CA
- Parking Structure 2, Redwood City, CA
- San Mateo Health Campus Projects, San Mateo, CA. These include new Administration Building, new Link Building, Existing Building Demolition and Sitework.

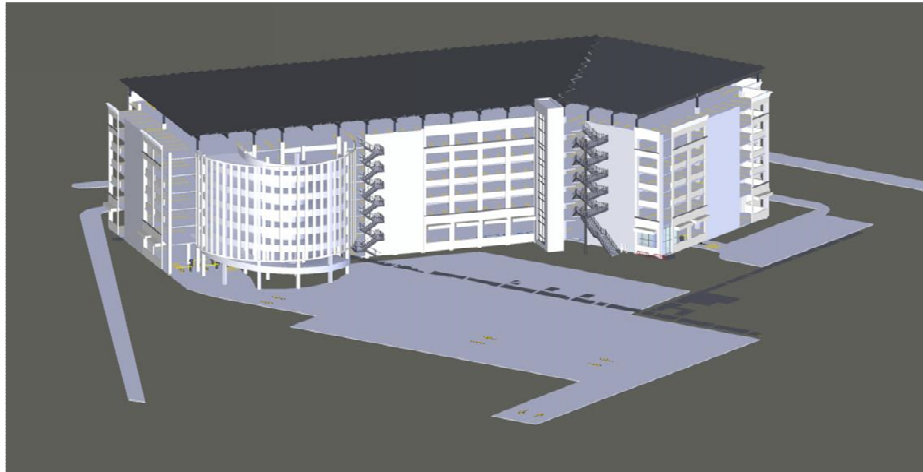
Bidders must be prequalified in order to submit a bid proposal for the project. For convenience, bidders need only complete one prequalification package for any of the above projects. The County of San Mateo Project Development Unit ("PDU") will be the office providing project management services for this Project.

Prospective Bidders shall note that this project has received budget approval, and Truebeck Construction and the County of San Mateo reserve the right to stop the project and reject any and all Prequalification packages and/or proposed bid amounts.

III. OVERALL DESCRIPTION OF WORK

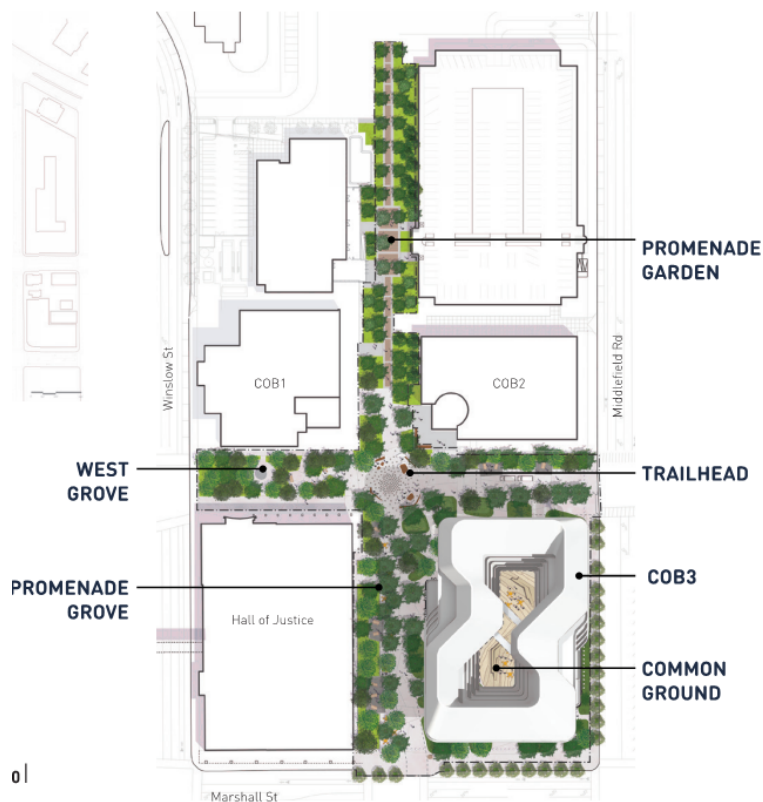
For the work at the County Government Center, there are (3) subprojects, totaling \$199 Million:

1. The new **County Office Building 3 ("COB-3")** is a ground up, iconic 5-Level building, approximately 181,000 square feet. COB-3 is located at the site immediately to the east of the existing Hall of Justice, bordered by Marshall Street and Middlefield Road in Redwood City, CA. This building has a concrete podium deck at Level 2 with giant concrete piers underneath; this podium is at 32' above the finish floor. Levels 2 through 5 are constructed with steel and metal decking and are clad with terracotta tile and glazed surfaces. The first level consists of ground level spaces (board chambers, building entry, etc.) with an elevated exterior terrace above these spaces.
2. The new **Parking Structure 2 ("PS-2")** is a new 7 level parking structure to support the parking needs of the new County Office Building 3 and the other facilities in the County Government Center. The structure will be about 1,100 parking spaces, and is currently planned at the corner of Veterans Boulevard and Middlefield Road just north of the existing County Parking Garage (400 Middlefield Road) in Redwood City, CA
3. The Public Plaza and Promenade/Walkway ("Promenade" is a newly designed public promenade proposed to connect the new COB-3 and the new Parking Structure with the existing campus facilities at the County Government Center. The Promenade would possibly extend south from Parking Structure along Hamilton Street to Marshall Street. This pedestrian-oriented site amenity would close Hamilton Street to vehicular traffic within the Government Center campus. There may also be an opportunity for a Public Plaza north of COB-3 extending from the Promenade if the existing Traffic Court building is to be demolished (to be confirmed during design). This new feature will create open space that will be used for public events, gatherings, and functions knitting the new building development to the existing campus buildings.



Parking Structure 2

County Office Building 2



Sitework

For the work at the San Mateo Medical Center, there are (6) subprojects, as described below. The total project with the other (5) subprojects total \$116 Million.

1. The new **Administration Building ("B-5")** is a ground up (3) story building, approximately 45,200 square feet. This medical office building is permitted by the County of San Mateo. This building is a steel framed building, clad with glazing and panelized exterior. This building will utilize the entire Parking Lot area to the south of building 1954. This building will eventually connect with the C-8 Link Building to make a 70,000 SF building.
2. The new **Link Building ("C-8.1")** is a ground up partial (2) story building, approximately 45,200 square feet. This medical office building is permitted by the County of San Mateo, and connects the new Administration Building to the existing Hospital. This building is a steel framed building, clad with glazing and panelized exterior. This building will utilize the footprint of the existing 1954 Building.
3. **Sitework ("C-9")** is approximately 215,000 SF of renovations, including a new drive aisle from 37th Avenue, a new Drop-Off Plaza in front of the Administration Building and the Link Building, new sidewalk path from 37th avenue, new pathways (ramps and stairs) from the Upper Parking Lots, new parking lot, new utilities and overall new landscape/hardscape. Scope will be completed in phases, with coordination with the B-5 Admin Building and the C-8.1 Link Building projects. Scope also includes development of truck entrance, and service vehicle parking adjacent to the Central Plant.
4. Scope also includes demolition of two existing buildings, which are the **"C-7" 1954 Building Demolition** and the **"C8.2" Health Services Building Demolition**. **1954 Building** Demolition is approximately 109,000 SF of OSHPD-1 building demolition. The demolition shall begin once the 1954 Building is vacated. The 1954 Building may contain hazardous materials. The **Health Services Building** demolition is approximately 69,000 SF of County of San Mateo permitted demolition. Truebeck shall work with the County's selected environmental consultant and all applicable environmental agencies to perform necessary abatement work. All abatement work shall be performed in accordance with all applicable regulations, laws, codes, etc.
5. Scope also includes building a three hour wall separating the existing **North Addition Building "B-6"** to the Future C-8.1 Link Building. Scope may also include a small 5,000 SF OSHPD-1 renovation to renovate the vacant Rehab Department.



IV. GENERAL BIDDING INFORMATION

PREVAILING WAGE LAWS:

This project is subject to the requirements of Section 1770 et seq. of the California Labor Code requiring the payment of prevailing wages, the training of apprentices and compliance with other applicable requirements. Subcontractors are required to register with the Department of Industrial Relations (DIR). The project does not allow any contractor, subcontractor or sub-subcontractor that is on the list of debarred contractors. Prevailing wage rate information may also be obtained via the Internet at www.dir.ca.gov.

CERTIFIED PAYROLL REPORTING:

As a condition to receiving progress payments, final payment and payment of retention on any and all project on which the payment of prevailing wages is required, all trade subcontractors agree to present to the County of San Mateo and CMR along with their request for payment all applicable and necessary certified payrolls and other required documents for the time period covering such payment request. The County of San Mateo shall withhold any portion of a payment, including the entire payment amount, until certified payroll forms and other required LCP documents are properly submitted. In the event that certified payroll forms do not comply with the requirements of Labor Code Section 1720 et seq., or wage violations are identified by CMR and/or the County of San Mateo, CMR and/or the County of San Mateo may continue to hold sufficient funds to cover estimated wages and penalties under the contract.

V. EVALUATION FACTORS FOR PREQUALIFICATION

Prequalification of prospective elevator trade subcontractors will be determined by the application of a pre-established rating system, pass/fail and point score.

There are a total of 97 possible points. To achieve prequalification to bid upon the project, proposing trade subcontractors must not fail any of the Pass/Fail questions (1 through 10) and must be awarded a minimum of 67 points out of the total 97 points possible for questions 11 through 20. Please refer to the Prequalification Form attached for how the points are allocated.

Those trade subcontractors who have submitted the Prequalification Questionnaire will be notified at www.smc pdu.org by 5PM on Thursday, December 6, 2018, whether or not they are prequalified and will be invited to participate in the bidding process.

The below **minimum requirements** will be evaluated on **pass/fail method and trade subcontractors must pass all below items:**

1. Declaration: Properly signed by the authorized person of "Proposer".
2. License: Possession of California Contractor's License/classification in good standing at the date and time of the Prequalification questionnaire submittal. Please list license # and class in space provided. License classification(s) should be for the respective trade(s) that "Proposer" is submitting for. Note: Electrical Workers employed on this project shall be certified in accordance with the law. By signing on the certification page, Trade Subcontractor is certifying that all electrical workers employed on this project are certified in accordance with the law.
3. Firm has been in business for at least five (5) years.
4. Firm(s) has not been disqualified, debarred, removed or otherwise prevented from bidding on, or completing any public agency projects for any reason at any time within the last ten (10) years.
5. Firm(s) has not been terminated for cause on any public works projects at any time within the last ten (10) years.
6. Firm(s) has not been denied the right to bid upon a determination that the firm is not responsible, on any public works projects at any time within the last ten (10) years.
7. Firm(s) has never been subject of a disciplinary proceeding by a public agency at any time within the last ten (10) years.
8. Firm(s) has not been found in a final decision of a court to have submitted a false claim to a public agency within the last ten (10) years.

9. Firm can provide 100% Payment and Performance Bond in the anticipated contract amount.
(Please attach letter from Surety)
10. Firm participates in certified Apprenticeship Program approved by the State Division of Apprenticeship Standards.

The following criteria will be graded upon an assessed point scale as noted:

11. Firm has a local office within a 75-mile radius of the project site.
12. Safety: EMR Rating, Total Recordable Incident rating (TRIR) and Safety Incidents for the past 3 years.
13. Construction Experience: Specific requirements to be submitted are described under Item 13 of the Prequalification Documents.
14. Any decisions/findings/determinations within the past 10 years which have been rescinded or settled wherein firm has agreed that it will refrain from bidding on projects for a specific public agency or from bidding on public projects generally.
15. Any decision/findings/determinations which have been rescinded, settled or are on appeal wherein firm has been found to have submitted a false claim to a public agency.
16. Claims History, Criminal Matters & Civil Suits.
17. Assessment of liquidated damages.
18. Demonstrate current bonding capacity and ability to provide bonding. Surety companies used by bidder shall be an admitted surety insurer as defined in the California Code of Civil Procedures Section 995.120.
19. Ability to provide general liability (per occurrence and aggregate), completed operations, personal and advertising injury and auto insurance coverage, and errors & omissions coverage where applicable.
20. Firm's local office average annual volume of:

Mechanical (Wet/Dry):	\$ 10 million in each of the past three consecutive calendar years
Plumbing:	\$ 7 million in each of the past three consecutive calendar years
Electrical:	\$ 12 million in each of the past three consecutive calendar years
Fire Protection:	\$ 5 million in each of the past three consecutive calendar years
Exterior Panels:	\$ 7 million in each of the past three consecutive calendar years
Exterior Glazing:	\$ 7 million in each of the past three consecutive calendar years
Structural Steel/Misc. Iron:	\$ 10 Million in each of the past three consecutive calendar years
Gypsum Drywall/Framing/Plaster:	\$ 7.5 Million in each of the past three consecutive calendar years
Structural Concrete:	\$ 7 Million in each of the past three consecutive calendar years
Elevators:	\$ 5 Million in each of the past three consecutive calendar years
Haz. Material Abatement	\$ 5 million in each of the past three consecutive calendar years
"Hard" demolition (Concrete)	\$ 5 Million in each of the past three consecutive calendar years
"Soft" Demolition	\$ 3 Million in each of the past three consecutive calendar years
All others not listed:	\$ 3 million in each of the past three consecutive calendar years

PLEASE REFER TO THE PREQUALIFICATION QUESTIONNAIRE OF THIS PREQUALIFICATION DOCUMENT FOR DETAILS AND REQUIREMENTS WITHIN EACH CATEGORY LISTED ABOVE. TO ACHIEVE PREQUALIFICATION STATUS, PROPOSING TRADE SUBCONTRACTORS MUST NOT FAIL ANY OF THE PASS/FAIL QUESTIONS (ITEMS 1 THROUGH 10) AND MUST BE AWARDED A MINIMUM OF 67 OUT OF THE POSSIBLE 97 POINTS.

Any prospective trade subcontractor found to be not prequalified as a result of the trade subcontractor's answers to the Prequalification Questionnaire will receive written response from Truebeck Construction explaining the decision. If the proposing trade subcontractor can refute some of the facts upon which the decision was based, the proposing trade subcontractor may appeal the decision. The appeal shall state the basis of the appeal and must be submitted in writing within five (5) working days of receipt of notification of non-prequalification and may request a review by Truebeck Construction and the County of San Mateo.

- A. Any proposal protest in connection with the RFSOQ must be submitted in writing to Deborah Bazan, Director, Project Development Unit, 1402 Maple Street, Redwood City, California (Owner's Office), before 3:00 p.m. of the fifth Business Day following the issuance of the prequalification letter. Owner will use reasonable efforts to post qualification results at www.smcpcdu.org for all Proposers who submitted Proposals no later than 5PM on Wednesday, November 28, 2018, although any delay or failure to do so will not extend the Proposal protest deadline described above.
 - B. The initial protest document must contain a complete statement of the basis for the protest.
 - C. The protest must refer to the specific portion of the document that forms the basis for the protest.
 - D. The protest must include the name, address, and telephone number of the person representing the protesting party.
 - E. Only Proposers whom the Owner otherwise determines are responsive and responsible are eligible to protest a Proposal; protests from any other Proposer will not be considered. In order to determine whether a protesting Proposer is responsive and responsible, Owner may evaluate all information contained in any protesting Proposer's Proposal and conduct the same investigation and evaluation as Owner is entitled to take regarding a potential Proposer.
- Notwithstanding any other provision of this section, the party filing the protest must concurrently transmit a copy of the initial protest document and any attached documentation to all other parties with a direct financial interest that may be adversely affected by the outcome of the protest. Such parties shall include all other Proposers who appear to have a reasonable prospect of receiving an award depending upon the outcome of the protest.

The County of San Mateo and Truebeck Construction reserve the right to reject any or all responses to prequalification questionnaires and any or all bids and to waive non-material irregularities in any response or bid received.

Pursuant to the Public Records Act, Owner will make available to the public all correspondence and written questions submitted during the Proposal period, all Proposal submissions opened in accordance with the procedures of this RFSOQ, and all subsequent Proposal evaluation information. All submissions not opened will remain sealed and eventually be returned to the submitter. Except as otherwise required by law, Owner will not disclose trade secrets or proprietary financial information submitted that has been designated confidential by a Proposer to the extent permitted under applicable federal and state law. Any such trade secrets or proprietary financial information that a Proposer believes should be exempted from disclosure shall be specifically identified and marked as such. Blanket-type identification by designating whole pages or sections shall not be permitted and shall be invalid. The specific information must be clearly identified as such.

Upon a request for records regarding this Proposal, Owner will notify Proposer involved within ten Days from receipt of the request of a specific time when the records will be made available for inspection. If Proposer timely identifies any "proprietary, trade secret, or confidential commercial or financial" information that Proposer determines is not subject to public disclosure, and requests Owner to refuse to comply with the records request, Proposer shall take all appropriate legal action and defend Owner's refusal to produce the information in all forums; otherwise, Owner will make such information available to the extent required by applicable law, without restriction.

Information disclosed to Owner and all items in opened submissions are the property of Owner unless Proposer makes specific reference to data that is considered proprietary. Subject to the requirements in the Public Records Act, reasonable efforts will be made to prevent the disclosure of information except on a need-to-know basis during the evaluation process.

SELECTION PROCEDURES

Upon completion of the RFSOQ Process, with the completed 100% Construction Documents, the prequalified trade subcontractors shall submit lump sum pricing for specific portions of the scope of work. The lowest responsive bid submitted from prequalified trade subcontractors for each trade package shall be awarded the work. Per Public Contracting laws, each trade subcontractor shall bid the full scope of work for each trade package and shall not attach any clarifications, exceptions or exclusions to their bid proposals. Only proposals submitted on the official project bid form for each specific trade package, filled out completely and signed by an authorized representative of the bidder, will be accepted.

CONTRACT PROCEDURES

PDU has submitted to the County of San Mateo Board of Supervisor for approval of the total project contract. Truebeck Construction will submit to PDU for approval of the lowest responsive bidder for authorization of the work. Once approved, Truebeck Construction will contract direct with trade subcontractor.

All trade subcontractors on the project will also be required to sign the Truebeck Construction Master Subcontract Agreement. A copy of the proposed Master Subcontract Agreement with Truebeck Construction can be requested.

This project is covered by a Owner Approved Contractor Controlled Insurance Program (CCIP) which will protect CMR, Trade Subcontractors, and Owner from claims which may arise from, result from, or have connection to, CMR's actions or inactions relating to the Project and the Work, whether such actions or inactions be by themselves or by anyone directly or indirectly employed by any of them, or by anyone for whose acts any of them may be liable.

The CCIP shall extend coverage for completed operations that extend beyond acceptance of the certification of completion for defects, warranties, and maintenance obligations, if any, for ten (10) years. The CCIP shall be for coverages and amounts in accordance with the estimated construction cost. The CCIP shall include coverage for the following areas at the minimum limits specified below:

1. Worker's Compensation: as required by the California Labor Code; (Trade Subcontractor's will be required to provide an alternate for Worker's Compensation if decided to not be covered by CCIP)
2. Employer's Liability: \$1,000,000 per accident;
3. Commercial General Liability: \$2,000,000 per occurrence and \$4,000,000 aggregate;
4. Completed Ops (10 years): \$5,000,000;
5. Personal/Advertising Injury: \$2,000,000;
6. Damages to Rented Premises: \$250,000;
7. Med pay: \$100,000;
8. Umbrella/Excess Liability: \$82,000,000;
9. Commercial Automobile: \$2,000,000 combined single limit per accident for bodily injury and property damage, primary for any auto, including all owned, non-owned, and hired vehicles;
10. Builder's Risk: CMR shall procure and maintain in effect a Builders' Risk (course of construction) insurance with the broadest possible coverage for completed value of the Work but include all materials, machinery, equipment, and supplies owned by CMR or which CMR has assumed legal liability for, to be used in the fabrication, erection, or construction of the project. No deductible shall exceed \$100,000, per occurrence except for earthquakes, earth movement or flood. Builder's Risk Policies shall contain the following provisions: (a) Owner and Subcontractors of every tier shall be named as an additional insured loss payee; and (b) Coverage shall contain a mutual waiver of subrogation in favor of the Design Build Entity, Subcontractors at every tier, and the Owner, its officials, employees, agents, and only to the extent of onsite activity, design or engineering professionals; (c) Owner and CMR will share equally in payment of all deductibles from a covered event due to act of God events including earthquake, earth movement, and flood.

11. Contractor's Pollution Liability Insurance: CMR's Pollution Liability Insurance on an occurrence basis, with limits of at least \$5,000,000 per occurrence and \$10,000,000 policy term aggregate for bodily injury, property damage, cleanup costs and claim expenses, arising at or emanating from the Project Site arising from all operations performed on behalf of the CMR. Trade Subcontractors will provide Pollution Liability coverage as required by their specific Subcontract. Such insurance shall provide liability coverage for both sudden and gradual releases arising from the Work. CPL policy shall name Owner, CMR, and all Trade Subcontractors of all tiers as insureds. CMR shall be responsible at its own expense for an obligation for each loss payable under this insurance that is attributable to the CMR's acts, errors, or omissions, or the acts, errors, or omissions of any of its Trade Subcontractors, or any other entity or person for whom CMR may be responsible. The amount of the obligation shall be based on the amount of the initial Contract Price, as follows: (1) The portion of the obligation applying to the CMR or Trade Subcontractor shall be the responsibility of the CMR and shall remain uninsured. CMR shall promptly pay its charge pertaining to any loss. The Owner, in addition to its other remedies, may back charge CMR for the obligation and deduct the back-charged amount from CMR's next progress payment or final payment.
12. Professional Liability Insurance: Each licensed professional (Professional) engaged by CMR to perform portions of the Work shall maintain the following insurance at its sole cost and expense Professional Liability Insurance, insuring against professional errors and omissions arising from Professional's work on the Project, in an amount not less than \$2,000,000 combined single limit for each claim. Any per claim Deductible or SIR in excess \$100,000 shall be subject to Owner's prior written approval in Owner's sole discretion. Should Professional not provide this insurance on an occurrence policy, Professional shall provide insurance covering claims made as a result of performance of Work on this Project with a retroactive date which precedes the date that Work is first performed, and shall maintain such insurance in effect for not less than three years following Final Completion of the Project. If Professional is a design-build Subcontractor (of any tier), or a member of, or an employee, consultant or contractor to, such a design-build Subcontractor, Professional must maintain at least \$1,000,000 per occurrence or claim, and \$2,000,000 policy aggregate in Professional Liability Insurance, and any Deductible or SIR in excess of \$100,000 shall be subject to Owner's prior written approval in Owner's sole discretion.

TRADE SUBCONTRACTOR INSURANCE REQUIREMENTS

For all trade subcontractors not covered by the CCIP for onsite operations, and for all trade subcontractors for offsite coverage, the following minimum limits apply:

- General liability: Combined single limit for bodily injury and property damage per occurrence and in the aggregate. General aggregate shall apply per project. Limits shall not be less than:
 - \$1,000,000 occurrence / \$2,000,000 aggregate
- Commercial auto liability: Combined single limit for bodily injury and property damage. Limits shall not be less than: \$1,000,000
- Worker's compensation and employer's liability: Limits shall not be less than:
 - Employers' liability – \$1,000,000
- Other coverage/limits: Limits shall not be less than:
 - The General Aggregate limit shall apply separately to Subcontractor's work under this contract. For subcontracts in excess of \$250,000 an additional \$5,000,000 Excess Liability Insurance policy shall be maintained over the General Liability coverage that shall, at a minimum, include coverage for the exposures set forth in CMR's Master Subcontract Agreement.

All insurance policies required to be obtained by subcontractor shall be subject to approval by CMR for conformance to the Prime Contract requirements. All such policies shall be issued by a company rated by Best as A- or better with a financial classification of VIII or better or an equivalent rating by Moody's or Standard & Poor's. Policies issued by companies for Workers' Compensation and Employer's Liability Insurance may be issued by companies (i) that have a Best rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody's); or (ii) that are acceptable to the County of San Mateo.

VI. PREQUALIFICATION SCHEDULE

Thursday, October 25, 2018	Prequalification documents available to Bidders
Monday, November 12 th , 2018 by 5 PM	Receipt by the County of San Mateo of any Bidder's requests for clarification
Thursday, November 15 th , 2018 by 5 PM	Issuance of Revision(s), if needed
Wednesday, Nov. 28 ^h , 2018 at 2:30 PM	Submittal of completed Prequalification Questionnaire and required attachments
Thursday, December 6 th , 2018 by 5PM	Prequalified Subcontractors will be posted online at www.smcpdu.org and Building Connected
Thursday, December 13 th 2018 by 5PM	Last day to submit appeal for non-qualification determination.

ANTICIPATED SUBCONTRACTOR BID SCHEDULE

Trade Bid Packages issued to qualified trade bidders

Admin, Link & Sitework Projects	January to March 2019
Parking Structure 2 Project	January to February 2019
COB-3 & Sitework Projects	April and August 2019

ANTICIPATED CONSTRUCTION SCHEDULE

The anticipated project schedules for each project is as follows:

County Government Center Projects

- Parking Structure 2 is anticipated to start June 2019 and be complete August 2020
- County Office Building 3 is anticipated to start August 2019 and be complete August 2021
- Sitework for these projects will occur between October 2020 and June 2021.

San Mateo Health Campus

- B-5 Administration Building is anticipated to start April 2019 and be complete July 2020
- B-6 Rehab Backfill is anticipated to start October 2019 and be complete November 2019.
- C-7 1954 Demo is anticipated to start July 2020 and be complete December 2020.
- C-8.1 Link Building is anticipated to start December 2020 and be complete December 2021.
- C-8.2 Health Services Building Demo is anticipated to start June 2021 and be complete December 2021.
- C-9 Sitework is anticipated to start with the B-5 Administration Building and be phased for completion in December 2021.

**PREQUALIFICATION QUESTIONNAIRE FOR
New COB-3, Parking Structure 2, Admin & Link Projects
Redwood City and San Mateo, CA**

SUBMITTED BY:

	(Firm Name)
	(Contact Name)
	(Address)
	(City, State, Zip Code)
	(Telephone Number)
	(Fax Number)
	(Email Address of Contact Name)

NAME OF TRADE PACKAGE(S) SUBMITTING (List All Trades Below)

ON FOR PREQUALIFICATION: _____

Each prospective trade subcontractor must have a California Contractor's License, which is current, active and in good standing with the California Contractor's State License Board, on the date and time of the Prequalification Questionnaire submittal is due and must submit this Prequalification Questionnaire with all portions completed, including required attachments.

Each prospective trade subcontractor must answer all of the following questions and provide all requested information, where applicable. Any prospective trade subcontractor failing to do so may be deemed to be not responsive and prequalified with respect to this prequalification at the sole discretion of the County of San Mateo.

Information submitted by the trade subcontractor shall not be open to public inspection to the extent that information is exempt from disclosure under the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of the Title of the Government Code).

Any prospective trade subcontractor found to be not prequalified as a result of the trade subcontractor answers to the Prequalification Questionnaire will receive written response from Truebeck Construction explaining the non-prequalification decision. The bidder may appeal the decision. The appeal shall state the basis of the appeal and must be submitted in writing within three (3) working days of receipt of notification of non-prequalification and may request a review from the Facility. The decision resulting from such review is final and not appealable within the County of San Mateo.

It is critical that the prospective trade subcontractor fills out all information required accurately, completely, truthfully and to the best of their knowledge. Ambiguous or incomplete information may lead to an unfavorable rating and subsequent status as not prequalified. **Non-prequalification criteria have been clearly identified. WHERE NECESSARY, COPY THE FORMS IN THIS PACKAGE. USE ONLY THESE FORMS.**

TO ACHIEVE PREQUALIFICATION STATUS, PROPOSING TRADE SUBCONTRACTORS MUST NOT FAIL ANY OF THE PASS/FAIL QUESTIONS (NUMBERS 1 THROUGH 10) AND MUST BE AWARDED A MINIMUM OF 67 POINTS OUT OF THE POSSIBLE 97 TOTAL POINTS ALLOCATED FOR QUESTIONS 11 THROUGH 20.

THE FOLLOWING CRITERIA (1 - 10) WILL BE EVALUATED ON THE BASIS OF PASS / FAIL:

1. PREQUALIFICATION DECLARATION

I, _____, hereby declare that I am the
(Printed Name)

_____ of _____
(Title) (Name of Firm)

(Circle one: Sole Proprietor, General Partner or Corporate Officer)

Submitting this Prequalification Questionnaire; that I am duly authorized to sign this Prequalification Questionnaire on behalf of the abovenamed firm; and that all information set forth in this Prequalification Questionnaire and all attachments hereto are, to the best of my knowledge, true, accurate and complete as of its submission date.

The undersigned declares under penalty of perjury that all of the Prequalification information submitted with this form is true and correct and that this declaration was executed in _____ County, California, on _____.
(Date)

(Signature)

If the above is signed by other than the sole proprietor, a general partner or corporate officer, attach an original notarized power of attorney or corporate resolution

2. LICENSE

- A. Does your firm hold a State of California license classification which is current, valid, and in good standing with the California State License Board for the work you propose bidding? YES ☐ NO ☐

If YES, provide the following information about your firm's Contractor's licenses:

- (1) Name of license holder exactly as on file with the Ca. State License Board: _____
(2) License Classification and Code: _____
(3) License Number: _____
(4) Date Issued: _____
(5) Expiration Date: _____

Note: Electrical workers employed on this project shall be certified in accordance with the law. By signing the declaration above, Trade Subcontractor is certifying that all electrical workers employed on this project are certified in accordance with the law.

- 3. Has your firm been in business for at least five (5) years?** YES ☐ NO ☐

A. Number of years in business under this name and management: _____

- B. If name changed within the last five (5) years due to acquisition, state previous company name and number of years in business under that name.

Company Name: _____ No. of years: _____

C.Type of Ownership: ☐ Corporation ☐ Partnership ☐ Sole Proprietor ☐ Joint Venture

4. Can you truthfully state that your firm has not been disqualified, debarred, removed or otherwise prevented from bidding on, or completing any public agency (e.g., federal, state, county, city, etc.) projects for any reason at any time within the last ten (10) years? YES ☐ NO ☐
5. Can you truthfully state that your firm has not been terminated for cause on any public works projects at any time within the last ten (10) years? YES ☐ NO ☐
6. Can you truthfully state that your firm has not been denied the right to bid upon a determination that the firm is not responsible, on any public works projects at any time within the last ten (10) years? YES ☐ NO ☐
7. Can you truthfully state that your firm has never been subject of a disciplinary proceeding by a public agency (e.g. federal, state, county, city, etc.) at any time within the last ten (10) years? YES ☐ NO ☐
8. Can you truthfully state that your firm has not been found in a final decision of a court to have submitted a false claim to a public agency (e.g., federal, state, county, city, etc.) at any time within the last ten (10) years? YES ☐ NO ☐
9. Can you truthfully state that your firm can obtain a 100% Payment and Performance Bond for the full value of the Trade Bid Package you are prequalifying for? YES ☐ NO ☐
10. Provide information on Attachment II, Items N, O, P and Q, regarding Apprenticeship and Prevailing Wage laws. To be eligible for prequalification, bidders must participate in a State of California recognized and registered Apprenticeship training program and not have more than five violations of Prevailing Wage law requirements in the past 5 years. Each potential bidder shall attach written evidence of registration of a recognized Apprenticeship Training program (ie. Apprenticeship Agreement, Statement of Registration, Union Enrollment Agreement, etc.) to their prequalification package.

THE FOLLOWING CRITERIA (11A - 20) WILL BE EVALUATED BASED ON A POINT SYSTEM:

- 11A. Does your firm have a local office within a 60-mile radius of the project site? YES ☐ NO ☐
Points: (Yes: 2 Points, No 0 Points)

- 11B. If yes on 11A, how long has this local office been in existence? _____
Points: 10 Years Plus: 5 Points 3 to 4 Years: 1 Points
5 to 9 Years: 3 Points 1 to 2 Years: 0 Points)

12. **SAFETY RATING:** Trade Subcontractors seeking prequalification shall attach their OSHA 300 and 300A logs to this prequalification questionnaire, as well as fill in the information below.

A. EMR: Please list your firm's EMR rating for each of the listed years: 2015 _____
Points: 2016 _____
2017 _____
☐ 0 to .85 5 points/year
☐ .86 to 1.00 3 points/year
☐ 1.00 to 1.15 1 point/year
☐ 1.16 to 1.25 0 points/year
☐ Greater than 1.25 Fail. Not able to be prequalified.

- B. Safety Incidents:** Does your firm have any recent OSHA citations in the last five (5) years?
If Yes, please explain: _____

_____.

Points:
☐ 6 points No OSHA Citations in the past (5) years
☐ 0 Points Any OSHA Citation in the past (5) years
☐ Fail Any OSHA Citation for the same reason in the past (5) years.

C. Total Recordable Incident rate: (TRIR*): Calculate your firm's TRIR for the past 3 years. The total recordable incident rate information is listed on your OSHA Forms number 300 and 300A and is available from your worker's compensation insurance carrier.

Year:	# of Recordable Incidents	Total Employee Hours worked	Lost Workday Incident Rate
2015	_____	_____	_____
2016	_____	_____	_____
2017	_____	_____	_____

Points:

*TRIR = Total number of recordable incidents x 200,000/ total employee hours worked

- ☐ 4 points/year Rate greater than 20% below the Industry average for Company's NAICS
- ☐ 3 points/year Rate between 10% and 19% below the Industry average for Company's NAICS
- ☐ 2 point/year Rate between 0 and 9% below or equal to Industry average for Company NAICS
- ☐ 0 points/year Rate between equal to and 20% above the Industry average for Company NAICS
- ☐ Fail. Rate greater than 20% above the Industry average for Company NAICS. (Not Able to Qualify)

13. CONSTRUCTION EXPERIENCE

- A. Attach to the completed Prequalification Questionnaire, the completed Project Data Sheets, documenting the requirements listed below:
 - i. Submit project information on **two (2) similar projects of similar scope in the past 10 Years**. All projects submitted are preferred to be completed in the State of California. Points will be awarded based upon each of the two submitted projects as compared to the listed criteria on the Project Data Sheets. Please refer to the Project Information Sheet for information on how points will be awarded. (Point totals noted are for both projects; a possible 10 points per project will be awarded.)
- B. Use the Project Data Sheets for projects submitted on pages 20- 23. Provide all of the information requested in the Project Data Sheet.
- C. Listed projects must have been managed and constructed by the business entity submitted for prequalification. Projects completed by present employees of the trade subcontractor for former employers are not acceptable.
- D. Once the above requirements are met, there will be points given on the projects submitted for items below. Other project assessment items include but are not limited to the following:
 - i. Reference checks from Owner and/or Design Professional on execution of projects submitted.
 - ii. Quality measures implemented on submitted projects.
 - iii. Projects similar to the proposed project size, especially in size, cost and type.

14. Identify any decisions/findings/determinations within the past 10 years which have been rescinded or settled wherein your firm has agreed that it will refrain from bidding on projects for a specific public agency (e.g., federal, state, county, city, etc.) or from bidding on public works projects generally. For each item described the circumstances surrounding such decisions/findings/determinations. **If none, note "NONE"**.

Points: Any Incidents: 0 Points No Incidents: 5 Points

15. Identify any decisions/findings/determinations which have been rescinded, settled, or is on appeal wherein your firm has been found to have submitted a false claim to a public agency (e.g., Federal, State, County, City, etc.) within the past ten (10) years. For each item, describe the circumstances surrounding such decisions/findings/determinations. **If none, note "NONE"**.

Points: Any Findings: 0 Points No Findings: 5 Points

16. Provide information on Attachment II (Item A, B, and/or C) on Pages 24 to 26 for each and every claim asserted within the last five (5) years over \$1,000,000 by a public entity against your firm and/or by your firm against a public entity.

Points: 0 Claims: 6 Points

1-2 Claims with acceptable 100% Resolution: 5 Points

3 or more claims with 100% acceptable resolution: 4 Points

1-4 Claims with 50% acceptable resolution: 3 Points

1-3 Claims with 25% acceptable resolution or

More than 4 Claims with 50% Acceptable resolution: 2 Points

1-3 Claims with 0 % resolution or 4 or more claims with

25% acceptable resolution: 1 Point

4 or more claims with 0% acceptable resolution: 0 Points

Acceptable Criteria: 40% or Greater Contractor aggregate recovery and/or 40% or less Owner Aggregate Recovery

17. Provide information on Attachment II, Item D on assessment of Liquidated Damages.

Points: If Assessed Liquidated Damages: 0 Points , If No Liquidated Damages: 2 Points

18. **SURETY** - (SURETY COMPANIES USED BY TRADE SUBCONTRACTOR SHALL BE AN ADMITTED SURETY INSURER AS DEFINED IN THE CALIFORNIA CODE OF CIVIL PROCEDURES SECTION 995.120.) It is the intent of CMR that each of the trade subcontractors be able to be bonded to validate financial capacity only.

A. What is your bonding capacity? _____

B. Provide a declaration **from the Surety Company** named in Item 23.C. stating the amount of bonding capacity available to your firm. **Either** provide a notarized declaration or include the following in the last paragraph of the declaration:

“The undersigned declares under penalty of perjury that the above statement(s) submitted is true and correct and that this declaration was executed in _____ County, California, on (date).”

(DO NOT SIGN HERE)

_____ (Name and Title, printed or typed)
_____ (Signature)

C. Provide the name, address, and telephone number of the surety (not the Bonding/Broker agent) to be used on this construction contract:

Company Name: _____

Address: _____

City/State/Zip Code: _____

Phone Number: _____

Points: Able to Bond: 5 Point Not Able to provide Bond: 0 Points

19. **INSURANCE** (THE INSURANCE COMPANY USED SHALL BE LISTED BY BEST AND SHALL HAVE A RATING OF A- OR BETTER WITH A FINANCIAL CLASSIFICATION OF VIII OR BETTER OR AN EQUIVALENT RATING BY STANDARD & POOR OR MOODY’S. POLICIES ISSUED MAY BE ISSUED BY COMPLAINES (I) THAT HAVE A BEST RATING OF A- OR BETTER AND A FINANCIAL CLASSIFICATION OF VIII OR BETTER (OR AN EQUIVALENT RATING BY STANDARD & POOR OR MODDY’S); OR II) THAT ARE ACCEPTABLE TO CMR AND THE COUNTY OF SAN MATEO.)

19A. What are your insurance limits in the following areas:

Policy Limits

1. Bodily Injury & Property Damage-Each Occurrence -
Combined Single Limit
2. Products - Completed Operations Aggregate
3. Personal and Advertising Injury
4. General Aggregate
5. Business Automobile Liability Insurance

Limits of Liability:

Each Accident - Combined Single Limit for
Bodily Injury and Property Damage

6. Errors & Omission

Points: General Aggregate over \$ 5 Million: 6 Points
General Aggregate between \$ 2 Million and \$ 5 Million: 3 Points
General Aggregate under \$ 2 Million: 0 Points

19B If the minimum limits for Products-Completed Operations Aggregate and General Aggregate each are \$5,000,000, will your firm be able to obtain these limits? YES ☐ NO ☐

Points: Limits above \$ 5 Million: 1 Point Limits Below \$ 5 Million 0 Points

19C Provide the following information on your Insurance Company/carrier(s) (not the Broker/Agent):

Note: Provide Name of Company as listed by Best.

For General Liability:

Company Name: _____

Indicate Best Rating: _____

Indicate Best Financial Classification: _____

For Auto Liability:

Company Name: _____

Indicate Best Rating: _____

Indicate Best Financial Classification: _____

For Worker's Compensation:

Company Name: _____

Indicate Best Rating: _____

Indicate Best Financial Classification: _____

For Excess Liability:

Company Name: _____

Indicate Best Rating: _____

Indicate Best Financial Classification: _____

For Errors & Omission: (For Design Build Packages)

Company Name: _____

Indicate Best Rating: _____

Indicate Best Financial Classification: _____

19D Provide a declaration **from the Insurance Company** stating that your firm ***is able to obtain insurance or have insurance*** in the limits stated above for this construction contract from the Insurance Company. Either provide a notarized declaration or include the following in the last paragraph of the declaration: *"The undersigned declares under penalty of perjury that the above statement(s) submitted is true and correct and that this declaration was executed in _____ County, California, on (date).* **(DO NOT SIGN HERE)**

(Name and Title, printed or typed)

(Signature)

20. FINANCIAL STATEMENT AND INFORMATION

- A. Can you truthfully state that your firm at **the local office location** has had an annual business construction revenue* **over the past 3** consecutive calendar years that is directly contributable to a business unit office within 60 miles of the project site? If your firm has more than one business unit office within 60 miles of the project site revenue can be a combined aggregate of each office to meet the requirement. YES ☐ NO ☐

Office Revenue within 60 miles of the project site:

2017: \$ _____ ending December 31, 2017

2016: \$ _____ ending December 31, 2016

2015: \$ _____ ending December 31, 2015

Average of three revenue figures above: \$ _____

* Business construction revenue shall be defined as payments to prospective trade subcontractor for pre-construction services and construction services.

<i>Points:</i>	Does Not Meet Volume Requirements:	0 Points
	Meets Volume Requirements:	4 Points
	Exceeds Volume Requirements by 25%:	7 Points

Local Office Volume Table

Mechanical (Wet/Dry):	\$ 10 million in each of the past three consecutive calendar years
Plumbing:	\$ 7 million in each of the past three consecutive calendar years
Electrical:	\$ 12 million in each of the past three consecutive calendar years
Fire Protection:	\$ 5 million in each of the past three consecutive calendar years
Exterior Panels:	\$ 7 million in each of the past three consecutive calendar years
Exterior Glazing:	\$ 7 million in each of the past three consecutive calendar years
Structural Steel/Misc. Iron:	\$ 10 Million in each of the past three consecutive calendar years
Gypsum Drywall/Framing/Plaster:	\$ 7.5 Million in each of the past three consecutive calendar years
Structural Concrete:	\$ 7 Million in each of the past three consecutive calendar years
Elevators:	\$ 5 Million in each of the past three consecutive calendar years
Haz. Material Abatement	\$ 5 million in each of the past three consecutive calendar years
"Hard" demolition(Concrete)	\$ 5 Million in each of the past three consecutive calendar years
"Soft" Demolition	\$ 3 Million in each of the past three consecutive calendar years
All others not listed:	\$ 3 million in each of the past three consecutive calendar years

ATTACHMENT I - PROJECT DATA SHEET (Question 13, Project #1)

(One Form per Project; Note 10 Potential Points possible per Project)

NAME OF SUBCONTRACTOR:

1. Project Name: _____
2. Project Location: _____
3. Owner's Name: _____
- Address: _____
- Phone: _____
- Contact Person: _____
4. General Contractor: _____
- Phone: _____
- Contact: _____
5. Name of Project Manager: _____
6. Name of Superintendent/Foreman _____

7. Was Project completed on time, including time extensions? YES ☐ NO ☐

Start Date: _____ Completion Date: _____

Points: Yes: 1 Point/Project No : 0 Points

8. Project Subcontract Cost:

Cost at Bid \$ _____ Cost at Completion \$ _____

9. Was plan approval required for project under California State Building Codes? YES ☐ NO ☐

Points: Yes: 1 Point/Project No : 0 Points

Similarities to New COB-3, Parking Structure-2 and Admin/Link Projects:

10. Was project a multi-level, mid rise structure (minimum 3 - 5 levels)? YES ☐ NO ☐

Points: Yes: 1 Point/Project No: 0 points

11. Did the project include special quality / finish requirements? YES ☐ NO ☐

If yes, describe: _____

Points: Yes: 1 Point/Project No: 0 Points

12. Did the project include special Skin Systems, Roofing Systems or Waterproofing Systems?

YES ☐ NO ☐

If yes, describe: _____

Points: Yes: 1 Point/Project No: 0 Points

13. Was this project completed under an accelerated project schedule? YES ☐ NO ☐

If yes, describe: _____

Points: Yes: 2 Point/Project No: 0 Points

ATTACHMENT I - PROJECT DATA SHEET (Question 13, Project #1) (continued)

Project Name: _____

14. a. Was project performed under California Prevailing Wage and Apprenticeship Laws? YES ☐ NO ☐

Points: A: Yes: 1 Point/Project No: 0 Points

b. If yes, was there an assignment of fines against subcontractor? YES ☐ NO ☐

Points: B : Yes: 0 Points No: 1 Point/Project (only applicable if 14a is Yes)

15. Was there a claim against the owner at the completion of this project? YES ☐ NO ☐

If yes, briefly describe the nature of the claim, amount of claim, and the terms of resolution:

Points: If Yes: 0 Points If No: 1 Point/Project

ATTACHMENT I - PROJECT DATA SHEET (Question 13, Project #2)

(One Form per Project; Note 10 Potential Points possible per Project)

NAME OF SUBCONTRACTOR:

1. Project Name: _____
2. Project Location: _____
3. Owner's Name: _____
- Address: _____
- Phone: _____
- Contact Person: _____
4. General Contractor: _____
- Phone: _____
- Contact: _____
5. Name of Project Manager: _____
6. Name of Superintendent/Foreman _____

7. Was Project completed on time, including time extensions? YES ☐ NO ☐

Start Date: _____ Completion Date: _____

Points: Yes: 1 Point/Project No : 0 Points

8. Project Subcontract Cost:

Cost at Bid \$ _____ Cost at Completion \$ _____

9. Was plan approval required for project under California State Building Codes? YES ☐ NO ☐

Points: Yes: 1 Point/Project No : 0 Points

Similarities to New COB-3, Parking Structure-2 and Admin/Link Projects:

14. Was project a multi-level, mid rise structure (minimum 3 - 5 levels)? YES ☐ NO ☐

Points: Yes: 1 Point/Project No: 0 points

15. Did the project include special quality / finish requirements? YES ☐ NO ☐

If yes, describe: _____

Points: Yes: 1 Point/Project No: 0 Points

16. Did the project include special Skin Systems, Roofing Systems or Waterproofing Systems?

YES ☐ NO ☐

If yes, describe: _____

Points: Yes: 1 Point/Project No: 0 Points

17. Was this project completed under an accelerated project schedule? YES ☐ NO ☐

If yes, describe: _____

Points: Yes: 2 Point/Project No: 0 Points

ATTACHMENT I - PROJECT DATA SHEET (Question 13, Project #1) (continued)

Project Name: _____

14. a. Was project performed under California Prevailing Wage and Apprenticeship Laws? YES ☐ NO ☐

Points: A: Yes: 1 Point/Project No: 0 Points

b. If yes, was there an assignment of fines against subcontractor? YES ☐ NO ☐

Points: B : Yes: 0 Points No: 1 Point/Project (only applicable if 14a is Yes)

15. Was there a claim against the owner at the completion of this project? YES ☐ NO ☐

If yes, briefly describe the nature of the claim, amount of claim, and the terms of resolution:

Points: If Yes: 0 Points If No: 1 Point/Project

ATTACHMENT II – CLAIMS HISTORY (Questions 16 & 17)

- A.** Provide the following information on each and every claim asserted within the last (5) years over \$100,000 by a General Contractor on any public or private projects against your firm. Include claims resolved by arbitration, litigation, mediation, settlement or withdrawal of claim(s). For purposes of this Section, if the firm submitting this prequalification is a Joint Venture, provide all such claim information for each and every member of the Joint venture. (Provide a sheet for each claim).

1. Project Name and Location: _____
2. Name and telephone number of entity: _____
3. Contract Amount: _____
4. Contract time: _____ days
5. Nature of claim: _____
6. Amount of claim in money and time in initial claim: \$ _____; _____ days
7. Amount of claim in money and time of any refinements/enhancements of the entity claim: \$ _____; _____ days
8. Final resolution of claim against your firm: \$ _____; _____ days
9. Method of resolution (check one):

<input type="checkbox"/> withdrawn	<input type="checkbox"/> litigation
<input type="checkbox"/> Settled by contracting parties without litigation or arbitration	<input type="checkbox"/> mediation
<input type="checkbox"/> arbitration	<input type="checkbox"/> Not settle yet; in process
10. Basis for Settlement: _____

- B.** Provide the following information on each and every claim asserted within the last (5) years over \$100,000 by a General Contractor on any public or private projects against your firm. Include claims resolved by arbitration, litigation, mediation, settlement or withdrawal of claim(s). For purposes of this Section 4B, if the firm submitting this prequalification is a Joint Venture, provide all such claim information for each and every member of the Joint venture. (Provide a sheet for each claim).

1. Project Name and Location: _____
2. Name and telephone number of entity: _____
3. Contract Amount: _____
4. Contract time: _____ days
5. Nature of claim: _____
6. Amount of claim in money and time in initial claim: \$ _____; _____ days
7. Amount of claim in money and time of any refinements/enhancements of the entity claim: \$ _____; _____ days
8. Final resolution of claim against your firm: \$ _____; _____ days
9. Method of resolution (check one):

<input type="checkbox"/> withdrawn	<input type="checkbox"/> litigation
<input type="checkbox"/> Settled by contracting parties without litigation or arbitration	<input type="checkbox"/> mediation
<input type="checkbox"/> arbitration	<input type="checkbox"/> Not settle yet; in process
10. Basis for Settlement: _____

ATTACHMENT II – CLAIMS HISTORY (Questions 16 & 17) (continued)

- C. If Sections A and/or B are not applicable to your firm please check below.
If no claims, check “none” next to the applicable box. **(Do not leave blank).**
☐ None for A ☐ None for B
- D. **Liquidated Damages** – Can you truthfully state that your firm has not, at any time in the last five (5) years been assessed liquidated damages (regardless of final settlement) after completion of a project, whether public or private project? YES ☐ NO ☐
If no, how many projects? _____ and explain on a separate signed page, identifying all such projects by Owner, Owner’s address, and the date of completion of the project, the amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.
- E. In the last five years, has your firm, or any firm with which any of your company owners, officers, or partners was associated, been barred, disqualified, removed or otherwise prevented from bidding on or competing any governmental 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.”
If yes, explain on a separate signed page. State whether the firm involved was the firm applying for prequalification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.
- F. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder? YES ☐ NO ☐
If yes, explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.
Note: The following three questions refer only to disputes between your firm and the company that hired your firm. You need not include information about disputed between your firm and a supplier or another subcontractor. Also, you may omit reference to all disputes about amounts of less than \$50,000.
- G. 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, on separate signed sheets of paper 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.
- H. 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.
- I. Have any back charges been assessed against your company by an owner for alleged quality issues in connection with your company, your design build subcontractor’s or your subsidiary’s work? YES ☐ NO ☐
- J. Has your firm or any of its subsidiaries or affiliates been barred from bidding or been deemed ineligible to bid on public works projects in the last ten years? YES ☐ NO ☐

ATTACHMENT II – CLAIMS HISTORY (Questions 16 & 17) (continued)

Criminal Matters and Civil Suits

- K.** 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.

- L.** 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.

- M.** Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime or fraud, theft, or any other act of dishonesty? YES ☐ NO ☐

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

Prevailing Wage and Apprenticeship Compliance Record

- N.** 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? 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.

- O.** 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).

- P.** 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 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.

- Q.** At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations or the laws pertaining to use of apprentices on public works? YES ☐ NO ☐

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