



# **CITY OF SAN BERNARDINO**

**Public Works Department  
Engineering Division**

## **REQUEST FOR PREQUALIFICATION STATEMENTS FROM DESIGN-BUILD ENTITIES FOR THE CAROUSEL MALL DEMOLITION PROJECT**

**PREPARED BY:**

**CITY OF SAN BERNARDINO**

**PUBLIC WORKS/ENGINEERING DIVISION**

**ALEX QISHTA, CITY ENGINEER**

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# NOTICE OF PREQUALIFICATION REQUIREMENT AND COMPETITIVE SELECTION PROCESS

The City of San Bernardino (“City”) hereby gives notice that it intends to request competitive proposals for design-build services for the Carousel Mall Demolition (“Project”), and that the City has determined that Design-Build Entities must be prequalified prior to submitting a proposal. Prequalification Statements must be submitted no later than: **4:00 pm August 18,2022**.

## 1. GENERAL DESCRIPTION OF THE PROJECT

San Bernardino is a full-service city and encompasses an area of 62.24 miles with the population of approximately 218,500. The city is located at the convergence of the I-10, SR-210 and I-215 highways. The southbound I-215 connects to SR-91 leading to Orange County, with northbound connecting to I-15, which passes through several states leading to the Canadian border. Centrally located in Southern California, San Bernardino has been at the center of the Southland goods movement since 1875, when the Southern Pacific and Santa Fe Railroads reached the city. Today, the city is home to the BNSF Intermodal Facility and San Bernardino International Airport.

The City is soliciting the services of a qualified firm to provide design-build services to demolish the Carousel Mall

The design and demolition phase of the Project is estimated to cost approximately \$8,000,000

The Project site lies 295 Carousel Mall, San Bernardino, mixed-use two-story shopping mall located in the downtown of San Bernardino

The Project site is more specifically depicted in the Bridging Documents, attached hereto as Exhibit A and incorporated herein by this reference.

The Project is being procured pursuant to Chapter 12.21 (Design-Build) of the Municipal Code of the City of San Bernardino, which is incorporated herein by this reference.

## 2. A DESIGN-BUILD ENTITY DEFINED

A Design-Build Entity (“D-B Entity”) is defined as “a corporation, limited liability company, partnership, joint venture, or other legal entity that is able to provide appropriately licensed contracting, architectural, and engineering services as needed pursuant to a design build contract.”

City will consider teams consisting of a general contractor with contractual relationships with entities providing the other required licenses and capable of providing all services required for the Project.

For purposes of prequalification, each D-B Entity must identify and provide information for certain Core Organizations, which include the General Contractor and Engineer of Record. These Core Organizations must individually complete the appropriate scored-question portions of the Prequalification Questionnaire and obtain a passing score in order for the D-B Entity as a whole to be qualified. Failure to provide the appropriate completed portions of the questionnaire from all required Core Organizations may result in determination of not prequalified.

If the D-B Entity chooses to use an entity with the capability of performing both design and construction services (e.g., a subcontractor with a licensed engineer and design staff), then that member must submit the applicable Prequalification Questionnaire for each Core Organization and successfully qualify for the relevant disciplines.

City reserves the right to specify additional requirements for subcontractors or sub-consultants in the Request for Proposals for the Project.

### **3. SCOPE OF SERVICES**

The Project includes, but is not limited to, the following:

#### **3.1 Summary of Services**

Although the full scope of work shall be negotiated in the Design-Build Contract, as described herein, the selected Design-Build Team will be expected to fulfill, at a minimum, the services and technical requirements described in the General Description of Design-Build services attached hereto as part of the instructions for Prequalification Submission.

#### **3.2 Lump Sum Price**

The design and construction of the Project shall be completed within a Lump Sum Price. The Lump Sum Price includes all costs that are within the control of the Design-Build Team including design, project management, demolition, warranty, insurance, project closeout, overhead, general conditions, bonds, and other soft costs. The Lump Sum Price shall also include the Design-Build Team's contingency for architect/engineer ("A/E") costs and constructor errors and omissions. The Lump Sum Price is not to be construed as a stipulated sum, subject to change, but rather a true guaranteed not-to-exceed maximum cost.

The City recognizes there are a variety of Project costs that may be unforeseen before construction, including, but not limited to: utility discrepancies, program deficiencies, A/E errors and omissions, constructor errors, and last minute City-requested modifications. City is looking for a Design-Build Team that is confident enough in its own experience, capabilities, and dedication that, working with equally experienced stakeholders, can make the allowances necessary for the Design-Build Team to meet the promise of the Lump Sum Price indicated in its Proposal.

#### **3.3 Public Works Prevailing Wage and Contractor Registration**

Certain labor categories under this Project may be subject to prevailing wages as identified in the State of California Labor Code commencing at sections 1720 et seq. and 1770 et seq. If applicable, employees working in these categories at the site must be paid not less than the basic hourly rates of pay and fringe benefits established by the California Department of Industrial Relations ("DIR"). Copies of the State of California wage schedules are available for review at [www.dir.ca.gov/dlsr/](http://www.dir.ca.gov/dlsr/). In addition, a copy of the prevailing rate of per diem wages will be made available at the City's Public Works Department upon request. The successful Design-Build Team shall post a copy of the prevailing wage rates at each job site. It shall be mandatory upon the Design-Build Team to whom the contract is awarded, and upon any subcontractors, to comply with all Labor Code provisions, which include but are not limited to the payment of not less than the said specified prevailing wage rates to all workers employed by them in the execution of the Design-Build Agreement, employment of apprentices, hours of labor and debarment of

contractors and subcontractors.

Pursuant to Labor Code sections 1725.5 and 1771.1, all contractors and subcontractors that wish to bid on, be listed in a bid proposal, or enter into a contract to perform public work must be registered with the DIR. No Proposal will be accepted nor any contract entered into without proof of the Proposer's and subcontractors' current registration with the DIR to perform public work. If awarded a contract, the Design-Build Team and its subcontractors, of any tier, shall maintain active registration with the DIR for the duration of the project. The contract awarded pursuant to this proposal may also be subject to compliance monitoring and enforcement by the DIR.

#### **4. GENERAL STATEMENT OF PREQUALIFICATION CRITERIA AND PRIORITIES**

D-B Entities should include members with the following qualifications:

- **For Design:**
  - Design-build experience with projects similar to the Project in size, scope, type, complexity and cost to the Project
  - Experience working with the contractor included in the D-B Entity
  - Experience obtaining the permits and regulatory approvals required for the Project
- **For Construction:**
  - California Class A, B, or C-21 Contractor License
  - Design-build experience with projects similar in size, scope, type, complexity and cost to the Project
  - Experience working with the Engineer-of-Record included as part of the D-B Entity

#### **5. COMPETITIVE SELECTION PROCESS**

City envisions respondents to consist of teams of consultants, design professionals and contractors that collectively possess all of the experience required to perform the entire Project. City plans to select a D-B Entity for the Project through a two-step competitive selection process:

- **Step 1:** Prequalification Phase of responsible and qualified D-B Entities
  - Non-mandatory Pre-Submittal Conference: **10:00 AM ON Monday August 8, 2022**
    - Location: 201 N. E Street – Second Floor, Public Works Department.
  - Interested D-B Entities submit Statement of Qualifications by **4:00 pm, Thursday August 18, 2022**
  - City determines the list of Prequalified D-B Entities

Only the D-B Entities that are listed in the Prequalified Proposers List at the conclusion of Step 1 (meet the minimum requirements ) will be allowed to participate in Step 2. City intends to award the contract on a competitive "Best Value" basis.

- **Step 2:** Proposal Phase during which City will consider proposals and pricing submitted by prequalified D-B Entities.

## **6. PREQUALIFICATION REQUIREMENTS**

It is mandatory that all interested D-B Entities submit a complete Prequalification Statement, including a completed Prequalification Questionnaire and ALL additional requested materials, for City's review and evaluation. In order to be deemed prequalified by City and be listed on the final Prequalified Proposers List for the Project, a D-B Entity must pass each section/subpart. **Only Design-Build Entities that are listed on the Prequalified Proposers List will be eligible to submit a Proposal.**

**Prequalification Statements that fail to include ALL of the requested information, present false or misleading information, or are not submitted in the format requested may be considered nonresponsive and rejected on that basis.**

While the Prequalification Questionnaire and required attachments are intended to assist City in determining qualification and responsibility prior to submittal of proposals, City reserves the right to utilize information from other sources in its prequalification evaluation of D-B Entities. City's prequalification determinations will be based on objective evaluation criteria.

However, neither the determination that a D-B Entity is prequalified, nor any prequalification rating, will preclude City from additional post-proposal consideration and determination of whether a proposer has demonstrated the requisite trustworthiness, quality, fitness, capacity and experience to be eligible for award of the design build contract.

## **7. PREQUALIFICATION PROCEDURE**

City has based the Prequalification Questionnaire on model prequalification documents prepared by the California Department of Industrial Relations. Accordingly, the prequalification procedure described herein: (1) requires a standardized Prequalification Questionnaire, (2) adopts and applies a uniform system for rating Design-Build Entities on objective criteria, and (3) creates an appeals procedure by which a D-B Entity that is found to be not prequalified may dispute that determination.

Except for the Contact Information section (subpart I.A) of the Prequalification Questionnaire, which will be considered a public record, completed Prequalification Questionnaires and all required attachments submitted by D-B Entities during the prequalification phase shall not be open to public inspection pursuant to Chapter 12.21 of the City's Municipal Code. City will keep all such information confidential to the extent permitted by federal and state law. However, City reserves the right to disclose submitted prequalification information to third parties for purpose of verification, investigation, or in an appeal hearing.

## **8. NON-MANDATORY PREQUALIFICATION CONFERENCE**

A non-mandatory conference to discuss this Request for Prequalification Statement and answer questions from prospective D-B Entities prior to prequalification submittal will be held in open forum on **10:00 am, Monday August 8, 2022** at: 201 N. E Street – Second Floor, Public Works Department

## 9. PREQUALIFICATION REVIEW AND NOTIFICATION PROCESS

The completed Prequalification Questionnaire with required attachments must be submitted by the deadline specified. Once received, City will review and notify the D-B Entities as follows:

- a. Receipt: The original Prequalification Questionnaire with required attachments will be stamped upon receipt with an official date and time of receipt.
- b. Completeness Review: Each prequalification submission will be reviewed for completeness by City staff within ten (10) business days from the deadline date. The D-B Entity will then be notified as to completeness (by telephone, facsimile, or electronic mail, at City's discretion). City staff may request additional information and if such request is made, the D-B entity will have three (3) business days from such notification to submit the requested information and the time limits for Staff Review and Qualification Notification shall be adjusted accordingly.
- c. Staff Review: Each complete Prequalification Questionnaire with all required attachments will be reviewed by City staff within twenty (20) business days from the submission deadline date.
- d. Qualification Notification: Each D-B Entity will be notified of its qualification rating by certified mail within twenty-five (25) business days from the submission deadline date.

**A D-B Entity must meet the minimum requirements for prequalification for consideration. All D-B Entities listed on the Prequalified Proposers List will be notified when the Request for Proposal documents are issued.**

If the D-B Entity is rated as "Not Prequalified" for the Project, it may appeal the determination in accordance with the appeal procedure set forth herein.

## 10. APPEAL PROCESS

A D-B Entity may appeal the rating of a timely and complete Prequalification Questionnaire. Upon written request, City will provide to the non-qualifying D-B Entity in writing the basis for the determination that the Proposer is not prequalified, and copies of any supporting evidence that has been received from others or adduced as a result of City's own investigation.

In order to appeal, a D-B Entity must deliver to City written notice of its appeal of City's determination with respect to that Entity's prequalification rating no later than 5:00 p.m. on the fifth (5th) business day after City issues notice of non-qualification (not the date the D-B entity receives such notification of non-qualification). The notice of appeal must be submitted to Robert D. Field, City Manager. Failure to timely appeal a non-qualified prequalification determination waives any and all rights of a D-B Entity to further challenge City's prequalification determination.

The notice of appeal must include a complete statement of the reasons and facts for the appeal; must refer to the specific portions of all documents that form the basis for the appeal; and must include the name, address, email address, facsimile number and telephone number of the person representing the D-B Entity appellant.

If a D-B Entity gives the required notice of appeal and requests a hearing, a hearing shall be conducted no later than ten (10) business days after City's receipt of the notice of appeal. The hearing shall be an informal process conducted by to be determined member of City staff (the "Project Appeals Hearing Officer"). During the hearing, the D-B Entity will be given the opportunity to rebut any evidence used as a basis for the non-qualified determination and to present evidence to City as to why it should be found prequalified.

The Project Appeals Hearing Officer will render his/her decision in writing to the D-B Entity. The written decision of the Project Appeals Hearing Officer shall be final. It is the intention of City that the date for the submission of Proposals in response to the Request for Proposals will not be delayed or postponed to allow for completion of an appeal process.

The appeal procedures and time limits set forth in this section are mandatory and constitute each D-B Entity's sole and exclusive remedy in the event of an Appeal. A D-B Entity's failure to timely complete both the appeal and appeal procedures shall be deemed a failure to exhaust administrative remedies. Failure to exhaust administrative remedies, or failure to comply otherwise with these procedures, shall constitute waiver of any right to further pursue the appeal, including filing a Government Code claim or legal proceedings.

## 11. REQUESTS FOR CLARIFICATIONS

Any questions and requests for clarifications regarding the Project and the prequalification process must be in writing and submitted directly to:

City of San Bernardino  
Public Works Department  
Engineering Division  
ATTN: Alex Qishta – City Engineer  
201 North "E" Street, 2nd Floor  
San Bernardino, CA 92418

Qishta\_al@sbcity.org

**Please be advised that City will not respond to questions received after the time specified herein.**

## 12. ANTICIPATED PREQUALIFICATION SCHEDULE

The following is the anticipated schedule of events for this Prequalification process:

<b><u>Action</u></b>	<b><u>Date</u></b>
Non-Mandatory Pre-Submittal Conference	<b><u>10:00 am, Monday August 8, 2022</u></b>
Written Questions Due	not later than 4:00 pm. PDT on August 11, 2022
Prequalification Statement Submission Deadline	not later than 4:00 pm PDT on August 18,2022



City reserves the right to extend the deadline for submittal of Prequalification Submittals and related materials. If it chooses to exercise this right, it will do so through an addendum sent by e-mail to all persons or entities that requested prequalification materials.

### **13. CONFLICTS OF INTEREST**

No architect or engineer retained by City whom assists in the development of pre-proposal Project-specific documents may participate in any D-B Entity in the preparation of a proposal for the Project.

### **14. RIGHTS RESERVED BY CITY**

City may deny prequalification where the requested information and materials are not provided, or not provided by the date specified. There is no appeal from a denial due to an incomplete or late submittal.

City reserves the right to accept prequalification submittals despite minor irregularities and omissions in the information that could disqualify a D-B Entity. City reserves the right to make all final prequalification determinations and to determine at any time that the prequalification procedures will not be applied to the Project.

City reserves the right to adjust, increase, limit, suspend or rescind a D-B Entity's prequalification rating based on subsequently acquired information. D-B Entities whose rating changes sufficient to disqualify them will be notified and given an opportunity for an appeals process consistent with the procedures for appealing an initial prequalification determination.

City reserves the right to modify, suspend, or cancel this Project, including the prequalification phase, in whole or in part, at any time and at its sole discretion. The D-B Entity will be solely responsible for the costs of preparing the prequalification materials and participating in the prequalification process.

# Explanation of Scoring Framework

## EXPLANATION OF SCORING FRAMEWORK

The prequalification determination for a D-B Entity will result from consideration of the scores attained in all parts of the Prequalification Questionnaire.

**In addition to attaining scores at or above the specified minimums for each Section and/or subpart, the scores for each subpart in Part III and Part IV will be combined to calculate a “Total Score.” All D-B Entities receiving a pass rating will be ranked according to the Total Score and the top three (3) scores will be included on the Prequalified Proposers List.**

### **PART I: INFORMATION ABOUT THE D-B ENTITY AND EACH OF ITS CORE TEAM MEMBERS**

Part I applies to the D-B Entity as a whole and to each of its Core Organizations, and is for identification purposes only. There is no scoring value to this portion of the Prequalification Questionnaire.

Note: Subpart I.A is the only public record portion of the Prequalification Questionnaire.

### **PART II: ESSENTIAL REQUIREMENTS FOR THE DESIGN-BUILD ENTITY AS A WHOLE**

Part II applies to the D-B Entity as a whole and to each of its Core Organizations, and consists of a series of pass/fail qualification questions. All questions must receive a “Pass” or the D-B Entity may be disqualified with no consideration given to the remainder of the Prequalification Questionnaire.

### **PART III: SCORED QUESTIONS FOR INDIVIDUAL MEMBERS OF THE D-B ENTITY AND CORE ORGANIZATIONS**

Part III includes a series of questions that must be answered, each of which has an established numerical score (as indicated in the Scoring Worksheet provided herein). The D-B Entity must attain scores at or above the specified minimums for each subpart in order for the D-B Entity to be deemed prequalified.

#### **Subpart III.A: Scored Questions for the General Contractor**

Subpart III.A applies to the General Contractor. A minimum score of **125 points** must be attained for the General Contractor or the D-B Entity will not be deemed prequalified.

#### **Subpart III.B: Scored Questions for the Engineer of Record**

Subpart III.B applies to the Engineer of Record. A minimum score of **49 points** must be attained for the Engineer of Record or the D-B Entity will not be deemed prequalified.

### **PART IV: RELEVANT EXPERIENCE**

Part IV requires the D-B Entity to submit information regarding recently-completed projects that are of similar size, type, and complexity. City will have sole discretion to determine which projects are similar to the Project in size, type, and complexity. The responses will be scored (as indicated

in the sample Scoring Worksheet provided herein). The D-B Entity must attain scores at or above the specified minimums for each subpart in order for the D-B Entity to be deemed prequalified.

**Subpart IV.A: Relevant Experience of the General Contractor**

Subpart IV.A applies to the General Contractor. A Minimum score of **16 points** must be attained for the General Contractor or the D-B Entity will not be deemed prequalified.

**Subpart IV.B: Relevant Experience of the Engineer of Record**

Subpart IV.B applies to the Engineer of Record. A Minimum score of **12 points** must be attained for the Engineer of Record or the D-B Entity will not be deemed prequalified.

**PART V: VERIFICATION**

Part V requires verification under oath by the D-B Entity and each Core Organization in a manner consistent with the verification requirements for civil pleadings pursuant to Code of Civil Procedure section 446. City will not review Prequalification Questionnaires that are not properly verified.

# Instructions for Prequalification

## INSTRUCTIONS FOR PREQUALIFICATION SUBMISSION

Each Prequalification Questionnaire must be signed under penalty of perjury in the manner designated on the Certification page (Part V), by an individual who has the legal authority to bind the D-B Entity and each Core Organization on whose behalf that person is signing.

If any information provided by a D-B Entity or Core Organization becomes inaccurate, the D-B Entity must immediately notify City and provide updated accurate information in writing, under penalty of perjury.

**Requested information must be provided on the Prequalification Questionnaire forms provided. To the extent that additional space is required in order to fully and completely answer any question the submitting firm should note in the Questionnaire that additional information is being submitted. Submit such information on the company letterhead of the firm submitting the Questionnaire with reference to: (a) the Project, (b) the relevant subpart and question, and (c) the Questionnaire page number for which the information is being provided.**

Prequalification Questionnaires must be submitted in 3-ring binders with tabs indicating all subparts. Attachments and additional information must be placed behind the appropriate tabs for the subpart for which they are required. The front of the binders must be marked "CONFIDENTIAL" and must indicate the D-B Entity's name and address using the following format:

PREQUALIFICATION QUESTIONNAIRE  
[Company Name and Address]  
Project Name: Carousel Mall Demolition Project

An electronic copy of the completed, signed Prequalification Questionnaire with required attachments must be submitted in portable document format (.pdf) on a removable storage device (i.e. compact disc or USB drive) in a sealed envelope marked "CONFIDENTIAL" and labeled as above.

**A complete submission must include ALL of the following:**

- 1 complete original and verified Prequalification Questionnaire bound together as described above with ALL required documents
- 3 bound, printed hard-copies of the same
- 1 electronic copy of the same in pdf format

**Prequalification Questionnaires must be received at:**

City of San Bernardino  
Public Works Department  
Engineering Division  
ATTN: Alex Qishta – City Engineer  
201 North "E" Street, 2nd Floor  
San Bernardino, CA 92418

**No Later Than: 4:00 pm (PDT) on August 18, 2022.**

Respondents shall assume full responsibility for timely delivery at the location designated for receipt of Prequalification Questionnaires. **ORAL, TELEPHONIC, FACSIMILE, TELEGRAPHIC, OR E-MAILED PREQUALIFICATION QUESTIONNAIRES ARE INVALID AND WILL NOT BE ACCEPTED. NO PREQUALIFICATION DOCUMENTS WILL BE ACCEPTED AFTER THE DUE DATE AND TIME** unless City determines that it is in its best interest to reopen the prequalification process. All submittals, whether delivered by contractor, U.S. Postal Service, courier or package delivery service, must be received and time stamped at the stated address no later than the time designated. City's timestamp shall be considered the official timepiece for the purpose of establishing the actual receipt of submissions.

**GENERAL DESCRIPTION OF DESIGN-BUILD SERVICES**

- (a) The services sought by this RFP include all services necessary to design and demo the Project. This includes but is not limited to the following:
- Architectural and engineering design services.
  - Permitting submittal and approvals from local, state and federal agencies.
  - Coordination of payment of all fees.
  - Project management.
  - Construction.
  - Utility coordination.
  - Commissioning of systems and equipment.
  - Coordination of all test and inspection services.
  - Community meetings (as may be required).
  - Coordination and scheduling work of Design-Build Team and others providing services to design and demo the Project.
  - All on-site grading and storm water compliance.
  - Insurance and bonding.
  - Provision of security badges for all Design-Build Team personnel requiring site access.
  - Coordination with City representatives.
- (b) The design and demolition must comply with the requirements of all applicable local, state and federal agencies.

The 43-acre Carousel Mall, one of the Inland Empire's oldest and biggest shopping mall was opened on October 11, 1972 as Central City Mall, the shopping center with about 52 stores and three (3) major anchor stores, JC Penney, Montgomery Ward, and The Harris Company, which has been at its location since 1927. The mall was closed on August 22, 2017. The mall encompasses approximately 1.1 million square feet

The scope of work for this project is a design/build contract to demolish Carousal Mall. The scope of work should include, but not limited t, the following:

- Define scope of demolition to determine to what extent buildings, parking facilities and subsurface infrastructure need to be demolished.
- Review all reciprocal easement agreements (REA) on the property.
- Prepare any required documents for demolition from others who have REA on the property.
- Research for existing lawsuits on the property.
- Get settlement agreement executed if required.
- Review existing site evaluation report for contamination and provide updated site evaluation.
- Prepare and have it approved any other environmental document required for demolition.
- Prepare asbestos and lead base paint survey report to evaluate presence and extent of contaminations and to provide removal measures for demolition.
- Evaluate the existing parking agreements:
  - i) Harris Department Store
  - ii) Fairview Ford
  - iii) California Theater
  - iv) Regal Theater
  - v) Enterprise Building
  - vi) Woolworth Building
- Identify available off-site parking to make up for the parking lost either temporarily or permanently.



- Determine if Harris Building has a legal right to remain attached to the Carousel Mall's Common Building components.
- Evaluate and include the demolition of the Carousel Mall from the Harris Department Store building including;
  - i) Structural stability
  - ii) Capping off all utilities
  - iii) Closing the existing opening between the Mall and the Harris building
- Evaluate and include the demolition of the Mall from the Andresen/Enterprise building including;
  - i) Structural stability
  - ii) Capping off all utilities
- Prepare complete cost estimate for the demolition.
- Present the demolition plans and submit a construction schedule for that purpose.
- Please note that selected D-B Entity contractor will immediately after contract award assume the responsibility of providing a security company to monitor and patrol the mall area and anchor building on a 24 hour, 7 days until demolition is completed.

The City is looking for qualified consultants to have Carousel Mall Site demolished with exception to: Harris Building, Fairview Chevrolet, Enterprise Building, and the Mall Parking Structure.

# Pre-Qualification Questionnaire

# PREQUALIFICATION QUESTIONNAIRE

## City of San Bernardino Carousel Mall Demolition Project

### PART I INFORMATION ABOUT THE DESIGN-BUILD ENTITY, ITS MEMBERS AND CORE ORGANIZATIONS

#### I.A. IDENTIFICATION OF THE D-B ENTITY

D-B Entity Name: \_\_\_\_\_

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

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

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

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

Type of Entity (check one):

- Corporation     Partnership     Sole Prop.  Joint Venture     Other Association

#### Member Firm(s) and Core Organizations

List all individuals and legal entities that are members of the D-B Entity. At a minimum, this must include a general contractor and Engineer of Record.

<b>Discipline</b>	<b>Name</b>	<b>License</b>

**PUBLIC RECORD**

**I.B. INFORMATION ABOUT THE D-B ENTITY**

Entity Name: \_\_\_\_\_

Type of Entity (check one):

- Corporation     Partnership     Sole Prop.     Joint Venture     Other Association

- 1.a. Date of entity incorporation, formation or commencement: \_\_\_\_\_  
 b. State of formation or incorporation: \_\_\_\_\_  
 c. How many people does your organization currently employ: \_\_\_\_\_

2.a. If the entity is a **corporation**, please complete the following table; provide information for each officer of the corporation or individual(s) with 10% or more of the corporate stock:

Position	Name	Years with Co.	% Ownership
President			
Vice-President			
Secretary			
Treasurer			

b. If the entity is a **partnership**, please complete the following table; provide information for each partner who owns 10% or more of the firm:

Position	Name	Years with Co.	% Ownership
General Partner			

c. If the entity is a **sole proprietorship**, please provide the name of the company owner:

**Name:** \_\_\_\_\_

d. If the entity is a **joint venture**, please complete the following table; provide information for each member of the joint venture:

Name of Firm	Name of Owner, General Partner, or President	% Ownership of Joint Venture

For each person listed in table 2a, 2b, 2c, or 2d, identify every construction company that the person has been associated with (as owner, general partner, limited partner, or officer) at any time during the last five (5) years:

e.

**NOTE: For this question, "owner" and "partner" refer to ownership of 10% or more of the business, or 10% or more of its stock, if the business is a corporation.**

Name	Company	Position with Company	Dates of Employment

3. Has there been any change in ownership of the D-B Entity at any time during the last three (3) years?

**NOTE: A corporation whose shares are publicly traded must only report a change in ownership of a controlling block of shares.**

Yes       No

If "yes," explain:

4. Is the D-B Entity a subsidiary, parent, holding company or affiliate of another design or construction firm?

**NOTE: Include information about other firms if one firm owns 50% 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:

5. Are any of the D-B Entity's corporate officers, partners or owners associated with any other design or construction companies?

**NOTE: Include name, address, and position information about each other firm in which an owner, partner, or officer of your firm holds a similar position.**

Yes       No

If "yes," explain:

6. To the extent available, state the D-B Entity's gross revenues for each of the last six years:

**2022:** \_\_\_\_\_ **2021:** \_\_\_\_\_ **2020:** \_\_\_\_\_  
**2019:** \_\_\_\_\_ **2018:** \_\_\_\_\_ **2017:** \_\_\_\_\_

7. Has the D-B Entity changed its name or license number in the past five (5) years?

Yes       No

If "yes," explain:

8. Has any owner, partner, or (for corporations) officer of the D-B Entity operated a design or construction company under any other name in the last five (5) years?

Yes       No

If "yes," explain:

**I.C. INFORMATION ABOUT THE GENERAL CONTRACTOR**

Entity Name: \_\_\_\_\_  
 Contact Person: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Email Address: \_\_\_\_\_

Type of Entity (check one):

- Corporation     Partnership     Sole Prop.  Joint Venture     Other Association

- 1.a. Date of entity incorporation, formation or commencement: \_\_\_\_\_  
 b. State of formation or incorporation: \_\_\_\_\_  
 c. How many people does your organization currently employ: \_\_\_\_\_

2.a. If the entity is a **corporation**, please complete the following table; provide information for each officer of the corporation or individual(s) with 10% or more of the corporate stock:

Position	Name	Years with Co.	% Ownership
President			
Vice-President			
Secretary			
Treasurer			

b. If the entity is a **partnership**, please complete the following table; provide information for each partner who owns 10% or more of the firm:

Position	Name	Years with Co.	% Ownership
General Partner			





**NOTE: A corporation whose shares are publicly traded must only report a change in ownership of a controlling block of shares.**

Yes       No

If "yes," explain:

4. Is the General Contractor a subsidiary, parent, holding company or affiliate of another design or construction firm?

**NOTE: Include information about other firms if one firm owns 50% 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:

5. Are any of the General Contractor's corporate officers, partners or owners associated with any other design or construction companies?

**NOTE: Include name, address, and position information about each other firm in which an owner, partner, or officer of your firm holds a similar position.**

Yes       No

If "yes," explain:

6. State the General Contractor's gross revenues for each of the last six years:

**2022:** \_\_\_\_\_ **2021:** \_\_\_\_\_ **2020:** \_\_\_\_\_  
**2019:** \_\_\_\_\_ **2018:** \_\_\_\_\_ **2017:** \_\_\_\_\_

7. List all license numbers, classifications and expiration dates of the California contractor licenses held by the General Contractor. General Contractor must have a Class A, B or C-21 Contractor License issued by the State of California:

Contractor License Number	Classification(s)	Expiration Date

8. If any of the General Contractor's license(s) are held in the name of a corporation, partnership, or other entity, list below the names of the qualifying individuals(s) listed on the CSLB records who meet(s) the experience and examination requirements for each license.

Contractor License Number	Name of Qualifying Individual

9. Has the General Contractor changed its name or license number in the past five (5) years?

Yes       No

If "yes," explain:

10. Has any owner, partner, or (for corporations) officer of the General Contractor operated a design or construction company under any other name in the last five (5) years?

Yes       No

If "yes," explain:

11. Provide documentation from the General Contractor's surety identifying the following:

<b>Bonding Co./Surety:</b>		<b>Surety Agent:</b>	
<b>Agent Address:</b>		<b>Telephone #:</b>	

12. List all other sureties (by name and with full address) that have written payment or performance bonds for the General Contractor during the last five (5) years, including the dates during which each wrote the bonds:

<b>Date</b>	<b>Surety</b>	<b>Address</b>

**I.D. INFORMATION ABOUT THE ENGINEER OF RECORD**

Entity Name: \_\_\_\_\_  
 Contact Person: \_\_\_\_\_  
 Address: \_\_\_\_\_  
 Phone: \_\_\_\_\_ Fax: \_\_\_\_\_  
 Email Address: \_\_\_\_\_

Type of Entity (check one):

- Corporation     Partnership     Sole Prop.     Joint Venture     Other Association

- 1.a. Date of entity incorporation, formation or commencement: \_\_\_\_\_  
 b. State of formation or incorporation: \_\_\_\_\_  
 c. How many people does your organization currently employ: \_\_\_\_\_

2.a. If the entity is a **corporation**, please complete the following table; provide information for each officer of the corporation or individual(s) with 10% or more of the corporate stock:

Position	Name	Years with Co.	% Ownership
President			
Vice-President			
Secretary			
Treasurer			

b. If the entity is a **partnership**, please complete the following table; provide information for each partner who owns 10% or more of the firm:

Position	Name	Years with Co.	% Ownership
General Partner			



3. Has there been any change in ownership of the Engineer of Record at any time during the last three years?

**NOTE: A corporation whose shares are publicly traded must only report a change in ownership of a controlling block of shares.**

Yes       No

If "yes," explain:

4. Is the Engineer of Record a subsidiary, parent, holding company or affiliate of another design or construction firm?

**NOTE: Include information about other firms if one firm owns 50% 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:

5. Are any of the Engineer of Record's corporate officers, partners or owners associated with any other design or construction companies?

**NOTE: Include name, address, and position information about each other firm in which an owner, partner, or officer of your firm holds a similar position.**

Yes       No

If "yes," explain:

6. State the Engineer of Record's gross revenues for each of the last six years:

<b>2020:</b> _____	<b>2019:</b> _____	<b>2018:</b> _____
<b>2017:</b> _____	<b>2016:</b> _____	<b>2015:</b> _____

7. Has the Engineer of Record changed its name or license number in the past five (5) years?

Yes       No

If "yes," explain:

8. Has any owner, partner, or (for corporations) officer of the Engineer of Record operated a design or construction company under any other name in the last five (5) years?

Yes       No

If "yes," explain:

9. Provide the following information for the Engineer of Record (i.e., the architect(s) whose stamp will appear on the Project documents) for the Project:

Name	License Number	Years Licensed

10. Provide the following information for all known engineers who will be providing services the Project:

Name	License Number	Years Licensed



**PART II      ESSENTIAL REQUIREMENTS FOR THE DESIGN-BUILD ENTITY AS A WHOLE****II.A.    ESSENTIAL REQUIREMENTS FOR THE D-B ENTITY AS A WHOLE**

**NOTE: A “No” response to question 1 will result in a “Fail” rating and the D-B Entity will be automatically disqualified without further consideration.**

1.            If the D-B Entity is a joint-venture or partnership, has the D-B Entity attached a copy of the agreement creating the entity which specifies that all partners or association members agree to be fully liable for the performance under the design-build contract?  
**NOTE: A corporation or sole proprietorship is not required to answer this question and should mark “N/A”.**
- Yes       No       N/A

**NOTE: A “Yes” response to questions 2 through 8 will result in a “Fail” rating and the D-B Entity will be automatically disqualified without further consideration.**

2.            Has the D-B Entity ever defaulted or been found in default on a construction contract?  
 Yes    No
3.            Within the last five (5) years, has a surety firm completed a contract on behalf of the D-B Entity or any of its members, or paid for completion because the D-B Entity or one of its members was terminated for default by the project owner?  
 Yes    No
4.            At the time of submitting this Prequalification Questionnaire, is the D-B Entity or any of its members ineligible to bid on, propose 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
5.            At any time during the last five (5) years, has the D-B Entity, or any of its members, been convicted of a crime involving the awarding of a contract for a government construction project, or the bidding or performance of a government contract?  
 Yes    No
6.            Has the D-B Entity or any of its members, or any of their owners or officers 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
7.            Has the D-B Entity or any of its members, or any of their owners or officers ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes  No

8. Has the D-B Entity or any of its members, or any of their owners or officers ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes  No

## II.B. ESSENTIAL REQUIREMENTS FOR THE GENERAL CONTRACTOR

**NOTE: A “No” response to questions 1 through 6 will result in a “Fail” rating and the D-B Entity will be automatically disqualified without further consideration.**

1. Does the General Contractor possess a valid, current California contractor’s license for the Project services for which it intends to submit a proposal?

**For this Project, the General Contractor must have a current and active California State Contractor’s license with a A, B, or C-21 Contractor classification.**

Yes  No

2. Does the General Contractor have a liability insurance policy with a policy limit of at least \$5,000,000 per occurrence and \$10,000,000 aggregate from a California admitted insurance company?

**D-B Entity must attach a statement from the insurer indicating the General Contractor’s ability to provide the insurance.**

Yes  No

3. Does the General Contractor have current workers’ compensation insurance policies as required by the Labor Code or legal self-insurance pursuant to Labor Code section 3700 et seq.?

Yes  No

4. Has the General Contractor attached a copy of its most **current** reviewed or audited financial statement with accompanying notes and supplemental information, as well as reviewed or audited financial statements with accompanying notes and supplemental information for the **past 3 years**?

Yes  No

**A financial statement that is not either reviewed or audited is not acceptable. A letter verifying availability of a line of credit is not a substitute for the required financial statement.**

5. Has the General Contractor attached a notarized statement from a surety insurer admitted and authorized to issue bonds in the State of California (i.e., approved by the California Department of Insurance), which states that the General Contractor’s current payment and performance bonding capacity is sufficient for the Project?

**NOTE: Required minimum performance and payment bonding capacity for the Project is equal to the estimated Project construction costs, excluding the estimated Project design costs.**

Yes  No

**The notarized statement must be from the surety company, not an agent or broker.**

6. Within the last five (5) years, has the General Contractor completed a project for a public entity with a total contract value of \$3,000,000 or more that included building demolition of similar size and complexity?

**NOTE: You will be required to identify specific projects and complete a Project Information Form in Part IV.A. Failure to identify a qualifying project will result in a “No” response to this question and the D-B Entity will be automatically disqualified without further consideration.**

Yes  No

**NOTE: A “Yes” response to questions 7 through 13 will result in a “Fail” rating and the D-B Entity will be automatically disqualified without further consideration.**

7. At any time during the last five (5) years, has any Contractors State Licensing Board license of the General Contractor (or the responsible managing officer/employee thereof) been revoked or suspended?

Yes  No

8. Within the last five (5) years, has a surety firm completed a contract on behalf of the General Contractor, or paid for completion because the Contractor or Subcontractor was terminated for default by the project owner?

Yes  No

9. At the time of submitting this Prequalification Questionnaire, is the General Contractor ineligible to submit a proposal 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

10. At any time during the last five (5) years, has the General Contractor, 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

11. Has the General Contractor, or any of its owners or officers, 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

12. Has the General Contractor, or any of its owners or officers, ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes  No

13. Has the General Contractor, or any of its owners or officers, ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes  No

## II.C. ESSENTIAL REQUIREMENTS FOR THE ENGINEER OF RECORD

**NOTE: A “No” response to questions 1 through 5 will result in a “Fail” rating and the D-B Entity will be automatically disqualified without further consideration.**

1. Does the Engineer of Record possess valid and current professional licenses for the services for which they intend to provide on the Project?

Yes  No

2. Does the Engineer of Record have a professional liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$4,000,000 aggregate from a California admitted insurance company?

**D-B Entity must attach a statement from the insurer indicating the Engineer of Record’s ability to provide the insurance.**

Yes  No

3. Does the Engineer of Record have a 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

4. Has the Engineer of Record attached a copy of its most current reviewed or audited financial statement with accompanying notes and supplemental information, as well as reviewed or audited financial statements with accompanying notes and supplemental information for the past 3 years?

Yes  No

**A financial statement that is not either reviewed or audited is not acceptable. A letter verifying availability of a line of credit is not a substitute for the required financial statement.**

5. Within the last five (5) years, has the Engineer of Record completed a project with a total construction contract value of \$3,000,000 or more for a public entity that included evaluation, preparing construction plans and specifications to demolish building of similar size and complexity?

**NOTE: You will be required to identify specific projects and complete a Project Information Form in Part IV.B. Failure to identify a qualifying project will result in a “No” response to this question and the D-B Entity will be automatically disqualified without further consideration.**

Yes  No

**NOTE: A “Yes” response to questions 6 through 10 will result in a “Fail” rating and the D-B Entity will be automatically disqualified without further consideration.**

6. Has any professional license, credential, or registration of Engineer of Record been revoked or suspended at any time in the last five (5) years?  
 Yes  No
7. At any time during the last five (5) years, has the Engineer of Record, or any of its owners or officers, been convicted of a crime involving the awarding of a contract of a government construction project, or performance of a government contract?  
 Yes  No
8. Has the Engineer of Record 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
9. Has the Engineer of Record 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
10. Has the Engineer of Record 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

**PART III SCORED QUESTIONS FOR MEMBERS OF THE D-B ENTITY AND CORE ORGANIZATIONS**

**III.A. SCORED QUESTIONS FOR THE GENERAL CONTRACTOR**

*The term “GC Associates” shall mean all of the following:*

- *The current qualifiers for all current Contractors State License Board licenses held by the contractor.*
- *All current officers of a contractor which is a corporation.*
- *All current partners of a contractor which is a partnership.*
- *All current joint ventures of the joint venture contractor which is seeking prequalification.*

A-1. How many years has the General Contractor been in business in California as a General Contractor under its present business name and license number?

**NOTE: If the General Contractor is a joint-venture, enter the average of the qualifying years for each partner to the joint-venture.**

**Years:** \_\_\_\_\_

A-2. Are the General Contractor or GC Associates currently the debtor in a bankruptcy case?

Yes  No

If “yes,” for each case, indicate the case number, and the date on which the petition was filed (attach additional sheets as necessary).

**Case #:** \_\_\_\_\_ **Date filed:** \_\_\_\_\_

A-3. Were the General Contractor or GC Associates 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 A-2, above)

Yes  No

If “yes,” for each case, indicate the case number and the date on which the petition was filed, and the Bankruptcy Court’s discharge order number (attach additional sheets as necessary).

**Case** \_\_\_\_\_ **Date filed:** \_\_\_\_\_ **Discharge #:** \_\_\_\_\_



A-4. In the past five years, have the General Contractor or GC Associates been cited for violations of the Contractors State License Law (Chapter 9 (commencing with section 7000) of Division 3 of the Business and Professions Code), **excluding** alleged violations of federal or state law including the payment of wages, benefits, apprenticeship requirements, or personal income tax withholding?

Yes  No

If “yes,” describe the nature of each violation, identify the name of the project, the date of its completion, the owner for which it was constructed, and give a brief explanation (attach additional sheets if necessary).

<b>Violation:</b>		<b>Project:</b>	
<b>Completion:</b>		<b>Owner:</b>	
<b>Explanation:</b>			

A-5. At any time in the last five years have the General Contractor or GC Associates been assessed and paid liquidated damages of more than \$10,000 after completion of a project under a construction contract with either a public or private owner?

Yes  No

If yes, identify all such projects by owner, owner’s address, completion date of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages (attach additional sheets as necessary):

<b>Owner:</b>		<b>Address:</b>	
<b>Completed</b>		<b>Amount:</b>	
<b>Other:</b>			

**NOTE: For purposes of questions 6 and 7, the term “Associated Firm” refers to another construction firm in which an owner, partner or officer of the GC firm held a similar position, and which is listed in response to question 3 or 4 of Part I.C of this form.**

A-6. Have the General Contractor or an Associated Firm, or any firm with which any of the General Contractor’s owners, officers or partners was associated, ever defaulted on a construction contract?

Yes       No

If “yes,” for each instance, identify the company, the person within the General Contractor who was associated with that company, the year of the event, the owner of the project, the project and the basis for the default (attach additional sheets as necessary):

<b>Company:</b>		<b>Person:</b>	
<b>Year:</b>		<b>Owner:</b>	
<b>Basis:</b>			

A-7. In the last five years, have the General Contractor or an Associated Firm, or any firm with which any of the General Contractor’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?

Yes       No

If “yes,” for each instance, identify the company, the person within the General Contractor who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action (attach additional sheets as necessary).

<b>Company:</b>		<b>Person:</b>	
<b>Year:</b>		<b>Owner:</b>	
<b>Basis:</b>			

A-8. Have the General Contractor or its GC Associates, or any firm with which any of the General Contractor’s owners, officers or partners was associated ever 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,” for each instance, identify the year of the event, the owner, the project, the name of the public agency, and the basis for the finding by the public agency (attach additional sheets as necessary):

<b>Year:</b>		<b>Owner:</b>		<b>Project:</b>	
<b>Basis:</b>					

A-9. In the past five years has any claim in excess of \$10,000 been made against the General Contractor or its GC Associates arising from or related to a design or construction contract (including claims for violation of the Federal or California False Claims Act) that was not resolved by change order?

Yes  No

If “yes,” identify each claim 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 (if applicable) and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution). Attach additional sheets if necessary:

<b>Project:</b>		<b>Date:</b>	
<b>Claimant:</b>		<b>Court:</b>	
<b>Nature:</b>			
<b>Description:</b>			

A-10. In the past five years have the General Contractor or its GC Associates made any claim in excess of \$10,000 against a project owner arising from or related to a design or construction contract that was not resolved by change order?

Yes  No

If “yes,” identify each 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 or venue 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). Attach additional sheets as necessary:

<b>Project:</b>		<b>Date:</b>	
<b>Entity:</b>		<b>Defendant:</b>	
<b>Description:</b>			

A-11. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the General Contractor or its GC Associates?

Yes  No

If “yes,” for each carrier, give name the insurance carrier, the form of insurance and the year of the refusal (attach additional sheets as necessary):

<b>Year:</b>		<b>Carrier:</b>		<b>Form:</b>	
<b>Comments:</b>					

A-12. Have the General Contractor or its GC Associates been required to pay a premium of more than one percent (1%) for a performance and payment bond on any project(s) on which the General Contractor or its GC Associates worked at any time during the last five years?

Yes  No

If “yes” for each relevant year, state the percentage that your firm was required to pay; you may provide an explanation for a percentage rate higher than one percent (1%), if you wish to do so (attach additional sheets as necessary):

**NOTE: Score will be based on the highest single year.**

<b>Year:</b>		<b>Rate:</b>	
<b>Explanation:</b>			

A-13. During the last five (5) years, have the General Contractor or its GC Associates been denied payment or performance bond coverage by a surety company, or has there ever been a period of time when General Contractor or its GC Associates had no surety bond in place during a public construction project when one was required?

Yes  No

If yes, for each instance, indicate the date when General Contractor or its GC Associates were denied coverage and the name of the company or companies that denied coverage; and the period during which you had no surety bond in place (attach additional sheets as necessary):

<b>Date:</b>		<b>Surety:</b>		<b>Duration Period:</b>	
<b>Explanation:</b>					

A-14. Has CAL OSHA cited and assessed penalties against the General Contractor or its GC Associates for any “serious,” “willful” or “repeat” violations of CAL OSHA safety or health regulations in the past five (5) years?

**NOTE: If the General Contractor or its GC Associates have filed an appeal of a citation that has not yet been ruled on, it need not include information about that claim.**

Yes  No

If “yes,” for each citation, describe 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 (attach additional sheets as necessary):

<b>Description:</b>		<b>Date:</b>		<b>Nature:</b>	
<b>Project:</b>		<b>Amount:</b>			

A-15. In the past five years, has the federal Occupational Safety and Health Administration cited and assessed penalties against the General Contractor or its GC Associates?

**NOTE: If the General Contractor or its GC Associates have filed an appeal of a citation that has not yet been ruled on, it need not include information about that claim.**

Yes  No

If “yes,” describe each citation (attach additional sheets as necessary):

<b>Explanation:</b>
---------------------

A-16. In the past five (5) years, has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the General Contractor or its GC Associates, or the owner of a project on which the General Contractor was part of the D-B Entity, in the past five (5) years?

Yes  No

If “yes,” describe each citation (attach additional sheets as necessary):

<b>Explanation:</b>
---------------------

A-17. In the past five (5) years, have the General Contractor or its GC Associates been cited for violations of the Federal Insurance Contributions Act (FICA; 26 U.S.C. Sec. 3101 et seq.) withholding requirements?

Yes  No

If “yes,” describe the nature of each violation, identify the name of the project, the date of its completion, the owner for which it was constructed, and give a brief explanation (attach additional sheets as necessary):

<b>Violation:</b>		<b>Project:</b>	
<b>Completion:</b>		<b>Owner:</b>	
<b>Explanation:</b>			

A-18. Please obtain a letter from the contractor’s insurance carrier (or state fund if applicable) with the contractor’s interstate Experience Modification Rate (EMR) for the for each of the past three premium years. If the contractor does not have an interstate rating, obtain the contractor’s intrastate EMRs. Attach the letter as part of this package. List your firm’s EMR below (available from the contractor’s insurance carrier).

<u>Year</u>	<u>EMR</u>
2022	_____
2021	_____
2020	_____
Three Year Average	= _____

Are the above rates interstate or intrastate? \_\_\_\_\_

**NOTE: Any of the following methods of “obtaining a letter” are acceptable:**

- (1) Furnish a letter from the contractor’s insurance agent, insurance carrier or state fund (on their letterhead) verifying the EMR data listed above; or
- (2) Furnish a photocopy of the applicable Experience Rating Calculation Sheets, which the contractor’s insurance carrier should forward to the contractor annually.

Documentation must be attached. Additionally, for each year during the past three years that your EMR was 1.00 or higher, provide an explanation (attach additional sheets as necessary):

<b>Year:</b>		<b>Rate:</b>	
<b>Explanation:</b>			

A-19. Within the last five (5) years, has there ever been a period when the General Contractor or its GC Associates had employees, but was without workers' compensation insurance or state-approved self-insurance?

Yes  No

If "yes," provide the following information, explaining the reason for the absence of workers' compensation insurance (attach additional sheets as necessary):

<b>Time Period:</b>		<b>to</b>	
<b>Explanation:</b>			

A-20. During the last five (5) years have the General Contractor or its GC Associates been required to pay either back wages or penalties for the General Contractor's failure to comply with **California's** prevailing wage laws?

Yes  No

If "yes," describe 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 (attach additional sheets as necessary):

<b>Violation:</b>		<b>Project:</b>	
<b>Completion:</b>		<b>Agency:</b>	
<b>Employees:</b>		<b>Amount:</b>	

A-21. During the last five (5) years, have the General Contractor or its GC Associates been penalized or required to pay back wages for failure to comply with the **Federal Davis-Bacon Act** prevailing wage requirements?

Yes  No

If "yes," describe the nature of the violation, identifying the name of the project, the date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid, the amount of back wages you were required to pay along with the amount of any penalty paid (attach additional sheets as necessary):

<b>Violation:</b>		<b>Project:</b>	
<b>Completion:</b>		<b>Agency:</b>	
<b>Employees:</b>		<b>Amount:</b>	



A-22. Do the General Contractor and its GC Associates and each proposed Subcontractor know and understand their obligations regarding the employment of apprentices on public works under Labor Code section 1777.5 and California Code of Regulations, Title 8, section 230.1?  
 Yes  No

A-23. At any time during the last five (5) years, have the General Contractor or its GC Associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?  
**You may omit reference to any incident that occurred prior to January 1, 2012, if the violation was by a Subcontractor and the General Contractor or its GC Associates, as general contractor on a project, had no knowledge of the Subcontractor’s violation at the time they occurred.**  
 Yes  No

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

Date	Department	Finding	Decision #

A-24. Do the General Contractor and its GC Associates require documented safety meetings to be held for construction employees and field supervisors during the course of a project?  
 Yes  No  
 If “yes,” identify how often the meetings are required.  
**Weekly**                      **Bi-Weekly**                      **Monthly**                      **Less Frequent**  
                                                                                                                 

A-25. Do the General Contractor and its GC Associates have a written Injury and Illness Prevention Program (IIPP) that complies with California Code of Regulations, Title 8 Sections 1509 and 3203?  
 Yes  No

A-26. Do the General Contractor and its GC Associates have personnel permanently assigned to safety?

Yes  No

If yes, state the names of all personnel who are assigned and list their specific duties:

Name	Title	Specific Duties

A-27. Do the General Contractor and its GC Associates have a substance abuse testing program?

Yes  No

If "yes," identify the testing included.

<b>Pre-Hire</b>	<b>Random</b>	<b>Probable Cause</b>	<b>Post-Incident</b>
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

A-28. Do the General Contractor and its GC Associates have a written Quality Assurance/Quality Control ("QA/QC") program?

Yes  No

A-29. Do the General Contractor and its GC Associates have personnel permanently assigned to QA/QC?

Yes  No

If yes, state the names of all personnel who are assigned and list their specific duties:

Name	Title	Specific Duties

A-30. Based on the financial statement required in Part II.B, provide the following information about the General Contractor:

**Current Assets:** \_\_\_\_\_  
**Current Liabilities:** \_\_\_\_\_  
**Total Net Worth:** \_\_\_\_\_  
**Current Asset/Liability Ratio:** \_\_\_\_\_  
**Working Capital**  
(Current Assets – Current Liabilities) \_\_\_\_\_

**III.B. SCORED QUESTIONS FOR THE ENGINEER OF RECORD**

*“Engineer of Record” shall mean the engineer whose stamp will appear on Project documents.*

B-1. How many years has the Engineer of Record or Firm been in business in California as an engineer operating under its present business name and license number?

**Years:** \_\_\_\_\_

B-2. Is the Engineer of Record or Firm currently the debtor in a bankruptcy case?

Yes  No

If “yes,” indicate the case number, and the date on which the petition was filed.

**Case number:** \_\_\_\_\_ **Date filed:** \_\_\_\_\_

B-3. Was the Engineer of Record or Firm in bankruptcy at any time during the last five (5) years? (This question refers only to a bankruptcy action that was not described in answer to question B-2, above)

Yes  No

If “yes,” indicate the case number and the date on which the petition was filed, and the Bankruptcy Court’s discharge order number.

**Case number:** \_\_\_\_\_ **Date filed:** \_\_\_\_\_ **Discharge #:** \_\_\_\_\_

B-4. In the past ten (10) years has the Engineer of Record or Firm operated without professional liability insurance?

Yes  No

If “yes,” explain on a separate sheet.

B-5. In the past five (5) years has any claim in excess of \$10,000 been made against the Engineer of Record or Firm arising from or related to a design or construction contract (including claims for violation of the Federal or California False Claims Act) that was not resolved by change order or contract amendment?

Yes  No

If “yes,” for each claim, 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). Attach additional sheets as necessary:

<b>Project Name:</b>		<b>Date:</b>	
<b>Claimant:</b>		<b>Court:</b>	
<b>Nature:</b>			

<b>Description:</b>
---------------------

B-6. In the past five (5) years has the Engineer of Record or Firm made any claim in excess of \$10,000 against a project owner arising from or related to a design or construction contract that was not resolved by change order or contract amendment?

Yes  No

If “yes,” for each claim, 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). Attach additional sheets as necessary:

<b>Project Name:</b>		<b>Date:</b>	
<b>Entity(s):</b>	<b>Court:</b>		
<b>Nature:</b>			
<b>Description:</b>			

B-7. In the last five (5) years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Engineer of Record or Firm?

Yes  No

If “yes” for each instance, give name of the insurance carrier, the form of insurance and the year of the refusal (attach additional sheets as necessary):

Year:		Carrier:		Form:	
<b>Comments:</b>					

B-8. Based on the financial statement required in Part II.C, provide the following information about the Engineer of Record:

**Current Assets:** \_\_\_\_\_

**Current Liabilities:** \_\_\_\_\_

**Total Net Worth:** \_\_\_\_\_

**Current Asset/Liability Ratio:** \_\_\_\_\_

**Working Capital**  
(Current Assets – Current Liabilities) \_\_\_\_\_

**PART IV RECENT CONSTRUCTION PROJECTS COMPLETED**

**IV.A. GENERAL CONTRACTOR EXPERIENCE**

The D-B Entity shall submit information describing projects completed in the past five (5) years by the D-B Entity or its General Contractor that demonstrate that the D-B Entity and its General Contractor have the experience, competency, capability, and capacity to design and complete projects of similar size, type, and complexity to the Project; a single project may fulfill more than one required experience criterion.

Only information, experience, and work performed by the D-B Entity or General Contractor that will perform the Project, if selected, will be considered for prequalification unless otherwise indicated below.

1. How many public works Design-Build projects with a total contract value of \$3,000,000 or more has the General Contractor completed in the last five (5) years?

**Number of public works Design-Build projects \$3M+ \_\_\_\_\_**

List the following information for the (up to five) most recent of these projects. ***For each project, provide information in the Project Information Form located at the end of this section.***

Project Name	Location	Construction Cost

2. How many projects with a total contract value of \$3 million or more have the General Contractor and Engineer of Record for the proposed Design-Build Entity completed together in the last five (5) years?

**Number of projects with same Contractor / Engineer of Record Team \$3,000,000+ \_\_\_\_\_**

List the following information for the (up to five) most recent of these projects. ***For each project, provide all information requested on the Project Information Form located at the end of this section.***

Project Name	Location	Construction Cost

3. How many public works projects with a total contract value of \$3,000,000 or more has the General Contractor completed that included a building demolition of similar size and complexity?

**Number of similar projects \$3,000,000+** \_\_\_\_\_

List the following information for the (up to five) most recent of these projects. ***For each project, provide information in the Project Information Form located at the end of this section.***

Project Name	Location	Construction Cost



# PROJECT INFORMATION FORM GENERAL CONTRACTOR

**VERIFY ALL CONTACTS PRIOR TO SUBMITTAL. D-B Entities are advised that City reserves the right to verify all Project information submitted below. It is the D-B Entity’s responsibility to ensure contacts are available to City for verification. Material inaccuracies may result in reduced qualification scores and disqualification.**

*Do not leave any spaces blank. Responses such as “N/A” are not acceptable. If not applicable, state “Not Applicable” and explain why. If none, state “NONE.”*

<b>Reference Information:</b>		
Project Name:	_____	
Project or Contract Number:	_____	
Project Location:	_____	_____
	Street Address	City & State      Zip Code

Owner Information:	_____	Contact Person:	_____
	Owner’s Name		Name & Title
Address:	_____	_____	_____
	Street Address	City & State	Zip Code
Telephone:	_____	Facsimile:	_____
		Email:	_____

Address of <b>D-B Entity or General Contractor’s</b> Office that Performed the Work:		
_____	_____	_____
Street Address	City & State	Zip Code
Name of <b>D-B Entity or General Contractor’s</b> Project Manager for project:	_____	
Name of <b>D-B Entity or General Contractor’s</b> Superintendent for project:	_____	

Contractor:	_____		
Contact Person:	_____		
Address:	_____	_____	
	Street Address	City & State      Zip Code	
Telephone:	_____	Facsimile:	_____
		Email:	_____

Design Firm: \_\_\_\_\_ Contact Person: \_\_\_\_\_  
Name & Title

Address: \_\_\_\_\_ , \_\_\_\_\_ , \_\_\_\_\_  
Street Address City & State Zip Code

Telephone: \_\_\_\_\_ Facsimile: \_\_\_\_\_ Email: \_\_\_\_\_

Name of Design Firm's Project Manager for project: \_\_\_\_\_

**Contract Time:**

Start Date: \_\_\_\_\_ Scheduled Completion Date: \_\_\_\_\_  
Month/Day/Year Month/Day/Year

Actual Completion Date: \_\_\_\_\_ Days Extended due to Unexcused Delays: \_\_\_\_\_  
Month/Day/Year

**Contract Amount:**

\$ _____ Base Amount	\$ _____ Adjustment Due to Change Orders	\$ _____ Final Contract Amount
-------------------------	---	-----------------------------------

**Project Information:**

Was the project a Design-Build project? Yes  No

Type of Project:  \_\_\_\_\_ Other

Type of Owner: Public  Private  Other

What was the building area of the project (square footage)? \_\_\_\_\_  
\_SF

Was the project built in California? Yes  No

**Project Description:** *(Provide a brief description including project photo)*

**IV.B. ENGINEER OF RECORD EXPERIENCE**

The Engineer of Record shall submit projects completed in the past five (5) years that demonstrate that the Engineer of Record has the experience, competency, capability, and capacity to design and complete, projects of similar size, type, and complexity to the Project; a single project may fulfill more than one required experience criterion.

Only information, experience and work performed by the Engineer of Record participating in the Design-Build Entity will be considered for prequalification unless otherwise indicated below.

1. How many public works design-build projects with a total construction cost of \$3,000,000 or more has the Engineer of Record designed in the last five (5) years?

**Number of public works design-build projects 3,000,000+ \_\_\_\_\_**

List the following information for the (up to five) most recent of these projects. ***For each project, provide information in the Project Information Form located at the end of this section.***

Project Name	Location	Construction Cost

2. How many public projects with a total contract value of \$3,000,000 or more that included a building demolition of similar size and complexity has the Engineer of Record designed in the last five (5) years?

**Number of similar projects \$3,000,000+ \_\_\_\_\_**

List the following information for the (up to five) most recent of these projects. ***For each project, provide information in the Project Information Form located at the end of this section.***

Project Name	Location	Construction Cost

## PROJECT INFORMATION FORM ENGINEER OF RECORD

**VERIFY ALL CONTACTS PRIOR TO SUBMITTAL. D-B Entities are advised that City reserves the right to verify all Project information submitted below. It is the D-B Entity's responsibility to ensure contacts are available to City for verification. Material inaccuracies may result in reduced qualification scores and disqualification.**

*Do not leave any spaces blank. Responses such as "N/A" are not acceptable. If not applicable, state "Not Applicable" and explain why. If none, state "NONE."*

**Reference Information:**

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

Project or Contract Number: \_\_\_\_\_

Project Location: \_\_\_\_\_ , \_\_\_\_\_ , \_\_\_\_\_  
Street Address City & State Zip Code

Owner Information: \_\_\_\_\_ Contact Person: \_\_\_\_\_  
Owner's Name Name & Title

Address: \_\_\_\_\_ , \_\_\_\_\_ , \_\_\_\_\_  
Street Address City & State Zip Code

Telephone: \_\_\_\_\_ Facsimile: \_\_\_\_\_ Email: \_\_\_\_\_

Address of **Engineer of Record's** Office that Performed the Work:  
 \_\_\_\_\_ , \_\_\_\_\_ , \_\_\_\_\_  
Street Address City & State Zip Code

Name of **Engineer of Record's** Project Manager for Project: \_\_\_\_\_

Contractor: \_\_\_\_\_

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

Address: \_\_\_\_\_ , \_\_\_\_\_ , \_\_\_\_\_  
Street Address City & State Zip Code

Telephone: \_\_\_\_\_ Facsimile: \_\_\_\_\_ Email: \_\_\_\_\_

<b>Contract Time:</b>		
Start Date: _____ Month/Day/Year	Scheduled Completion Date: _____ Month/Day/Year	
Actual Completion Date: _____ Month/Day/Year	Days Extended due to Unexcused Delays: _____	
<b>Contract Amount:</b>		
\$ _____ Base Amount	\$ _____ Adjustment Due to Change Orders	\$ _____ Final Contract Amount
<b>Project Information:</b>		
Was the project a Design-Build project?		Yes <input type="checkbox"/> No <input type="checkbox"/>
Type of Project:	Other _____	<input type="checkbox"/>
Type of Owner: Public Project <input type="checkbox"/>	Private Project <input type="checkbox"/>	Other _____ <input type="checkbox"/>
What was the area of the project (acres)?		_____ SF
Was the project built in California?		Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Project Description: (Provide a brief description including project photo)</b>		

**PART V      CERTIFICATION**

Part V requires verification under oath by the **D-B Entity and each Core Organization** in a manner consistent with the verification requirements for civil pleadings pursuant to Code of Civil Procedure section 446. City will not review Prequalification Questionnaires that are not properly verified.

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I, the undersigned, am authorized to make this verification on behalf of \_\_\_\_\_ . I have read the foregoing Prequalification Questionnaire and responses thereto. I am familiar with its contents and, based upon information available to me, the contents are true and correct.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed at \_\_\_\_\_ , \_\_\_\_\_ on \_\_\_\_\_  
(City) (State) (Date)

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

\_\_\_\_\_  
(Printed Name)

\_\_\_\_\_  
(Firm)

\_\_\_\_\_  
(Position)

# Scoring Worksheets

# SCORING WORKSHEETS

## DETAILED SCORING WORKSHEETS

D-B Entity Name: \_\_\_\_\_

PART II.A Essential Requirements For the D-B Entity as a Whole:			
Question No.	Requirement / Question	Yes	No
<b>A “Yes” response is required for the following questions:</b>			
1	<p>If the D-B Entity is a joint-venture or partnership, has the D-B Entity attached a copy of the agreement creating the entity which specifies that all partners or association members agree to be fully liable for the performance under the design-build contract?</p> <p>NOTE: A corporation or sole proprietorship is not required to answer this question and should mark “N/A”. <input type="checkbox"/></p> <p>N/A</p>		
<b>A “No” response is required for the following questions:</b>			
2	Has the D-B Entity ever defaulted or been found in default on a construction contract?		
3	Within the last five (5) years, has a surety firm completed a contract on behalf of the D-B Entity or any of its members, or paid for completion because the D-B Entity or one of its members was terminated for default by the project owner?		
4	Is the D-B Entity or any of its members ineligible to bid on, propose 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?		
5	At any time during the last five (5) years, has the D-B Entity, or any of its members, been convicted of a crime involving the awarding of a contract for a government construction project, or the bidding or performance of a government contract?		
6	Has the D-B Entity or any of its members, or any of their owners or officers 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?		
7	Has the D-B Entity or any of its members, or any of their owners or officers ever been convicted of a crime involving any federal, state, or local law related to construction?		
8	Has the D-B Entity or any of its members, or any of their owners or officers ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?		



PART II.A Essential Requirements For the D-B Entity as a Whole:			
Question No.	Requirement / Question	Yes	No
Pass this section?			

PART II.B Essential Requirements For the General Contractor:			
Question No.	Requirement / Question	Yes	No
<b>A "Yes" response is required for the following questions:</b>			
1	Does the General Contractor possess a valid, current California contractor's license for the Project services for which it intends to submit a proposal?		
2	Does the General Contractor have a liability insurance policy with a policy limit of <b>at least \$5,000,000 per occurrence and \$10,000,000</b> aggregate from a California admitted insurance company?		
3	Does the General Contractor have current workers' compensation insurance policies as required by the Labor Code or legal self-insurance pursuant to Labor Code section 3700 et seq.?		
4	Has the General Contractor attached a copy of its most current reviewed or audited financial statement with accompanying notes and supplemental information, as well as reviewed or audited financial statements with accompanying notes and supplemental information for the past 3 years?		
5	Has the General Contractor <u>attached</u> a notarized statement from a surety insurer admitted and authorized to issue bonds in the State of California (i.e., approved by the California Department of Insurance), which states that the General Contractor's current payment and performance bonding capacity is sufficient for the Project?		
6	Within the last five (5) years, has the General Contractor completed a project for a public entity with a total contract value of \$3,000,000 or more that included a building demolition of similar size and complexity?		
<b>A "No" response is required for the following questions:</b>			
7	At any time during the last five (5) years, has any Contractors State Licensing Board license of the General Contractor (or the responsible managing officer/employee thereof) been revoked or suspended?		
8	Within the last five (5) years, has a surety firm completed a contract on behalf of the General Contractor, or paid for completion because the Contractor or Subcontractor was terminated for default by the project owner?		

<b>PART II.B Essential Requirements For the General Contractor:</b>			
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Yes</b>	<b>No</b>
9	At the time of submitting this Prequalification Questionnaire, is the General Contractor ineligible to submit a proposal 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?		
10	At any time during the last five (5) years, has the General Contractor, 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?		
11	Has the General Contractor, or any of its owners or officers, 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?		
12	Has the General Contractor, or any of its owners or officers, ever been convicted of a crime involving any federal, state, or local law related to construction?		
13	Has the General Contractor, or any of its owners or officers, ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?		
<b>Pass this section?</b>			

<b>PART II.C Essential Requirements For the Engineer of Record:</b>			
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Yes</b>	<b>No</b>
<b>A "Yes" response is required for the following questions:</b>			
1	Does the Engineer of Record possess valid and current professional licenses for the services for which they intend to provide on the Project?		
2	Does the Engineer of Record have a professional liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$4,000,000 aggregate from a California admitted insurance company?		
3	Does the Engineer of Record have current workers' compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et seq.?		

<b>PART II.C Essential Requirements For the Engineer of Record:</b>			
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Yes</b>	<b>No</b>
4	Has the Engineer of Record attached a copy of its most current reviewed or audited financial statement with accompanying notes and supplemental information, as well as reviewed or audited financial statements with accompanying notes and supplemental information for the past 3 years?		
5	Within the last five (5) years, has the Engineer of Record completed a Design-Build project with a total contract value of \$3,000,000 or more for a public entity that included a building demolition of similar size and complexity?		
<b>A "No" response is required for the following questions:</b>			
6	Has any professional license, credential, or registration of Engineer of Record been revoked or suspended at any time in the last five (5) years?		
7	At any time during the last five (5) years, has the Engineer of Record or any owner or officer of either been convicted of a crime involving the awarding of a contract of a government construction project, or performance of a government contract?		
8	Has the Engineer of Record 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?		
9	Has the Engineer of Record or any of its owners, officers, or partners ever been convicted of a crime involving any federal, state, or local law related to construction?		
10	Has the Engineer of Record 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?		
<b>Pass this section?</b>			

<b>PART III.A Scored Questions for the General Contractor</b>		
<i>(Minimum required total score = 125 points; Maximum possible score = 187 points):</i>		
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Score</b>
A-1	<p><b>How many years has the General Contractor been in business in California as a General Contractor under its present business name and license number?</b></p> <p><i>5 yrs. or less = 0 pts</i>  <i>6 yrs. = 1 pts</i>  <i>7 yrs. = 3 pts</i>  <i>8 yrs. + = 5 pts</i></p>	
A-2	<p><b>Are the General Contractor or GC Associates currently the debtor in a bankruptcy case?</b></p> <p><i>Yes = 0 pts</i>  <i>No = 10 pts</i></p>	
A-3	<p><b>Were the General Contractor or GC Associates in bankruptcy at any time during the last five years?</b></p> <p><i>Yes = 0 pts</i>  <i>No = 10 pts</i></p>	
A-4	<p><b>In the past five years, have the General Contractor or GC Associates been cited for violations of the Contractors State License Law (Chapter 9 (commencing with section 7000) of Division 3 of the Business and Professions Code), excluding alleged violations of federal or state law including the payment of wages, benefits, apprenticeship requirements, or personal income tax withholding?</b></p> <p><i>5 pts for 0 or 1 instances</i>  <i>3 pts for 2 instances</i>  <i>0 pts for more than 2 instances</i></p>	
A-5	<p><b>At any time in the last five years have the General Contractor or GC Associates been assessed and paid liquidated damages of more than \$10,000 after completion of a project under a construction contract with either a public or private owner?</b></p> <p><i>0-1 Projects = 10 pts</i>  <i>2 Projects = 3 pts</i>  <i>More than 2 Projects = 0 pts</i></p>	
A-6	<p><b>Have the General Contractor or an Associated Firm, or any firm with which any of the General Contractor's owners, officers or partners was associated, ever defaulted on a construction contract?</b></p> <p><i>Yes = 0 pts</i>  <i>No = 5 pts</i></p>	
A-7	<p><b>In the last five years, have the General Contractor or an Associated Firm, or any firm with which any of the General Contractor'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?</b></p> <p><i>Yes = 0 pts</i>  <i>No = 10 pts</i></p>	

<b>PART III.A Scored Questions for the General Contractor</b>		
<i>(Minimum required total score = 125 points; Maximum possible score = 187 points):</i>		
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Score</b>
A-8	<p><b>Have the General Contractor or its GC Associates, or any firm with which any of the General Contractor's owners, officers or partners was associated ever 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?</b></p> <p><i>Yes = 0 pts</i> <i>No = 5 pts</i></p>	
A-9	<p><b>In the past five years has any claim in excess of \$10,000 been made against the General Contractor or its GC Associates arising from or related to a design or construction contract (including claims for violation of the Federal or California False Claims Act) that was not resolved by change order?</b></p> <p><i>5 pts for 0 or 1 instances</i> <i>3 pts for 2 instances</i> <i>0 pts for more than 2 instances</i></p>	
A-10	<p><b>In the past five years have the General Contractor or its GC Associates made any claim in excess of \$10,000 against a project owner arising from or related to a design or construction contract that was not resolved by change order?</b></p> <p><i>5 pts for 0 or 1 instances</i> <i>3 pts for 2 instances</i> <i>0 pts for more than 2 instances</i></p>	
A-11	<p><b>In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the General Contractor or its GC Associates?</b></p> <p><i>Yes = 0 pts</i> <i>No = 5 pts</i></p>	
A-12	<p><b>Have the General Contractor or its GC Associates been required to pay a premium of more than one percent (1%) for a performance and payment bond on any project(s) on which the General Contractor or its GC Associates worked at any time during the last five years?</b></p> <p><i>Yes = 0 pts</i> <i>No = 5 pts</i></p>	
A-13	<p><b>During the last five (5) years, have the General Contractor or its GC Associates been denied payment or performance bond coverage by a surety company, or has there ever been a period of time when General Contractor or its GC Associates had no surety bond in place during a public construction project when one was required?</b></p> <p><i>Yes = 0 pts</i> <i>No = 5 pts</i></p>	

<b>PART III.A Scored Questions for the General Contractor</b>		
<i>(Minimum required total score = 125 points; Maximum possible score = 187 points):</i>		
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Score</b>
A-14	<p><b>Has CAL OSHA cited and assessed penalties against the General Contractor or its GC Associates for any “serious,” “willful” or “repeat” violations of CAL OSHA safety or health regulations in the past five (5) years?</b></p> <p><i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i></p>	
A-15	<p><b>In the past five years, has the federal Occupational Safety and Health Administration cited and assessed penalties against the General Contractor or its GC Associates?</b></p> <p><i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i></p>	
A-16	<p><b>In the past five (5) years, has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the General Contractor or its GC Associates, or the owner of a project on which the General Contractor was part of the D-B Entity, in the past five (5) years?</b></p> <p><i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i></p>	
A-17	<p><b>In the past five (5) years, have the General Contractor or its GC Associates been cited for violations of the Federal Insurance Contributions Act (FICA; 26 U.S.C. Sec. 3101 et seq.) withholding requirements?</b></p> <p><i>5 pts for 0 or 1 instance 3 pts for 2 instances 0 pts for more than 2 instances</i></p>	
A-18	<p><b>List your firm’s EMR below (available from the contractor’s insurance carrier).</b></p> <p><i>5 points for three-year average EMR of .95 or less 3 points for three-year average of EMR of more than .95 but no more than 1.25 0 points for any other EMR</i></p>	
A-19	<p><b>Within the last five (5) years, has there ever been a period when the General Contractor or its GC Associates had employees, but was without workers’ compensation insurance or state-approved self-insurance?</b></p> <p><i>5 pts for 0 instances 0 pts for greater than 0 instances</i></p>	

<b>PART III.A Scored Questions for the General Contractor</b>		
<i>(Minimum required total score = 125 points; Maximum possible score = 187 points):</i>		
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Score</b>
A-20	<p><b>During the last five (5) years have the General Contractor or its GC Associates been required to pay either back wages or penalties for the General Contractor's failure to comply with California's prevailing wage laws?</b></p> <p><i>5 pts for 0 to 2 instances</i>  <i>3 pts for 3 instances</i>  <i>0 pts for more than 3 instances</i></p>	
A-21	<p><b>During the last five (5) years, have the General Contractor or its GC Associates been penalized or required to pay back wages for failure to comply with the Federal Davis-Bacon Act prevailing wage requirements?</b></p> <p><i>5 pts for 0 to 2 instances</i>  <i>3 pts for 3 instances</i>  <i>0 pts for more than 3 instances</i></p>	
A-22	<p><b>Do the General Contractor and its GC Associates and each proposed Subcontractor know and understand their obligations regarding the employment of apprentices on public works under Labor Code section 1777.5 and California Code of Regulations, Title 8, section 230.1?</b></p> <p><i>Yes = 5 pts</i>  <i>No = 0 pts</i></p>	
A-23	<p><b>At any time during the last five (5) years, have the General Contractor or its GC Associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?</b></p> <p><i>5 pts for 0 to 2 instances</i>  <i>3 pts for 3 instances</i>  <i>0 pts for more than 3 instances</i></p>	
A-24	<p><b>Do the General Contractor and its GC Associates require documented safety meetings to be held for construction employees and field supervisors during the course of a project?</b></p> <p><i>Yes = 2 pts</i>  <i>No = 0 pts</i></p>	
A-25	<p><b>Do the General Contractor and its GC Associates have a written Injury and Illness Prevention Program (IIPP) that complies with California Code of Regulations, Title 8 Sections 1509 and 3203?</b></p> <p><i>Yes = 2 pts</i>  <i>No = 0 pts</i></p>	
A-26	<p><b>Do the General Contractor and its GC Associates have personnel permanently assigned to safety?</b></p> <p><i>Yes = 2 pts</i>  <i>No = 0 pts</i></p>	

<b>PART III.A Scored Questions for the General Contractor</b>		
<i>(Minimum required total score = 125 points; Maximum possible score = 187 points):</i>		
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Score</b>
A-27	<b>Do the General Contractor and its GC Associates have a substance abuse testing program?</b> <i>Yes = 2 pts</i> <i>No = 0 pts</i>	
A-28	<b>Do the General Contractor and its GC Associates have a written Quality Assurance/Quality Control (“QA/QC”) program?</b> <i>Yes = 2 pts</i> <i>No = 0 pts</i>	
A-29	<b>Does the General Contractor have personnel permanently assigned to QA/QC?</b> <i>Yes = 2 pts</i> <i>No = 0 pts</i>	
A-30	<b>Total Net Worth:</b> <i>Less than \$4 million = 0 pts</i> <i>\$4 million ≤ Total Net Worth &lt; \$12 million = 5 pts</i> <i>\$12 million ≤ Total Net Worth &lt; \$20 million = 10 pts</i> <i>Greater than or equal to \$20 million = 15 pts</i>	
	<b>Current Asset/Liability Ratio:</b> <i>Less than 1.0 = 0 pts</i> <i>1.0 ≤ Asset/Liability Ratio &lt; 1.15 = 5 pts</i> <i>Greater than or equal to 1.15 = 10 pts</i>	
	<b>Working Capital:</b> <i>Less than \$3 million = 0 pts</i> <i>\$3 million ≤ Working Capital &lt; \$10 million = 5 pts</i> <i>\$10 million ≤ Working Capital &lt; \$15 million = 10 pts</i> <i>Greater than or equal to \$15 million = 15 pts</i>	
<b>Subtotal Part III.A</b>		



<b>PART III.B Scored Questions for the Engineer of Record</b>		
<i>(Minimum required total score = 49 points; Maximum possible score = 85 points):</i>		
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Score</b>
B-1	<p><b>How many years has Engineer of Record been in business in California?</b></p> <p><i>Less than 5 yrs. = 0 pts</i>  <i>5 yrs. = 1 pts</i>  <i>6 yrs. = 3 pts</i>  <i>7 yrs. + = 5 pts</i></p>	
B-2	<p><b>Is the Engineer of Record or Firm currently the debtor in a bankruptcy case?</b></p> <p><i>Yes = 0 pts</i>  <i>No = 10 pts</i></p>	
B-3	<p><b>Was the Engineer of Record or Firm in bankruptcy at any time during the last five (5) years? (This question refers only to a bankruptcy action that was not described in answer to question B-2, above)</b></p> <p><i>Yes = 0 pts</i>  <i>No = 10 pts</i></p>	
B-4	<p><b>In the past ten (10) years has the Engineer of Record or Firm operated without professional liability insurance?</b></p> <p><i>Yes = 0 pts</i>  <i>No = 5 pts</i></p>	
B-5	<p><b>In the past five (5) years has any claim in excess of \$10,000 been made against the Engineer of Record or Firm arising from or related to a design or construction contract (including claims for violation of the Federal or California False Claims Act) that was not resolved by change order or contract amendment?</b></p> <p><i>5 pts for 0 to 1 instances</i>  <i>3 pts for 2 instances</i>  <i>0 pts for more than 2 instances</i></p>	
B-6	<p><b>In the past five (5) years has the Engineer of Record or Firm made any claim in excess of \$10,000 against a project owner arising from or related to a design or construction contract that was not resolved by change order or contract amendment?</b></p> <p><i>5 pts for 0 to 2 instances</i>  <i>3 pts for 3 instances</i>  <i>0 pts for more than 3 instances</i></p>	
B-7	<p><b>In the last five (5) years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Engineer of Record or Firm?</b></p> <p><i>Yes = -5 pts</i>  <i>No = 5 pts</i></p>	

<b>PART III.B Scored Questions for the Engineer of Record</b>		
<i>(Minimum required total score = 49 points; Maximum possible score = 85 points):</i>		
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Score</b>
B-8	<b>Total Net Worth:</b> <i>Less than \$2 million = 0 pts</i> <i>\$2 million ≤ Total Net Worth &lt; \$7 million = 5 pts</i> <i>\$7 million ≤ Total Net Worth &lt; \$15 million = 10 pts</i> <i>Greater than or equal to \$15 million = 15 pts</i>	
	<b>Current Asset/Liability Ratio:</b> <i>Less than 1.0 = 0 pts</i> <i>1.0 ≤ Asset/Liability Ratio &lt; 1.15 = 5 pts</i> <i>Greater than or equal to 1.15 = 10 pts</i>	
	<b>Working Capital:</b> <i>Less than \$2 million = 0 pts</i> <i>\$2 million ≤ Working Capital &lt; \$6 million = 5 pts</i> <i>\$6 million ≤ Working Capital &lt; \$10 million = 10 pts</i> <i>Greater than or equal to \$10 million = 15 pts</i>	
<b>Subtotal Part III.B</b>		

<b>PART IV.A General Contractor Experience</b>		
<i>(Minimum required total score = 16 points; Maximum possible score = 24 points):</i>		
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Score</b>
1	<p><b>How many public works Design-Build projects with a total contract value of \$3,000,000 or more has the General Contractor completed in the last five (5) years?</b></p> <p><i>Award 2 points per project (Max 10 points)</i>  <i>Note: In order to receive points, the Project Information Form must be completed, and reference checks must be satisfactory</i></p>	
2	<p><b>How many projects with a total contract value of \$3,000,000 or more have the General Contractor and Engineer of Record on your proposed Design-Build team completed together in the last five (5) years?</b></p> <p><i>0 Projects = 0 pts</i>  <i>1 Project = 2 pts</i>  <i>2+ Projects = 4 pts</i></p>	
3	<p><b>How many public works projects with a total contract value of \$3,000,000 or more has the General Contractor completed that included a building demolition of similar size and complexity?</b></p> <p><i>Award 2 points per project (Max 10 points)</i>  <i>Note: In order to receive points, the Project Information Form must be completed, and reference checks must be satisfactory</i></p>	
<b>Subtotal Part IV.A  </b>		

<b>PART IV.B Engineer of Record Experience</b>		
<i>(Minimum required total score = 12 points; Maximum possible score = 20 points):</i>		
<b>Question No.</b>	<b>Requirement / Question</b>	<b>Score</b>
1	<p><b>How many public works design-build projects with a total construction cost of \$3,000,000 or more has the Engineer of Record designed in the last five (5) years?</b></p> <p><i>Award 2 points per project (Max 10 points)</i>  <i>Note: In order to receive points, the Project Information Form must be completed, and reference checks must be satisfactory</i></p>	
2	<p><b>How many public projects with a total contract value of \$3,000,000 or more that included a building demolition of similar size and complexity has the Engineer of Record designed in the last five (5) years?</b></p> <p><i>Award 2 points per project (Max 10 points)</i>  <i>Note: In order to receive points, the Project Information Form must be completed, and reference checks must be satisfactory</i></p>	
<b>Subtotal Part IV.B</b>		



## **EVALUATION SUMMARY**

D-B Entity Name: \_\_\_\_\_

<b>Section</b>	<b>Maximum Points Available</b>	<b>Minimum Required to Pass</b>	<b>D-B Entity Score</b>
<b>Part II – Essential Requirements</b>			
Part II A. Essential Requirements For the Design-Build Entity as a Whole (Pass/Fail)	Pass	Pass	
Part II B. Essential Requirements For the General Contractor (Pass/Fail)	Pass	Pass	
Part II C. Essential Requirements For the Engineer of Record (Pass/Fail)	Pass	Pass	
<b>Essential Requirements (Pass/Fail)</b>			
<b>Part III – Scored Questions</b>			
Part III A. Scored Questions for the General Contractor	187	125	
Part III B. Scored Questions for the Engineer of Record	85	49	
<b>Subtotal Part III</b>			
<b>Part IV – Relevant Experience</b>			
Part IV A. Relevant Experience D-B Entity / General Contractor	24	16	
Part IV B. Relevant Experience Engineer of Record	20	12	
<b>Subtotal Part IV</b>			
<b>Total Score (Part III + Part IV)</b>			

**EXHIBIT A**  
**BRIDGING DOCUMENTS**

***[ATTACHED BEHIND THIS PAGE]***

**[FROM THE CITY'S MUNICIPAL CODE - The Procurement Agent shall prepare a set of documents setting forth the scope and estimated price of the Public Works Project. The documents may include, but need not be limited to, the size, type, and desired design character of the Public Works Project, performance specifications covering the quality of materials, equipment, workmanship, preliminary plans or building layouts, or any other information deemed necessary to describe adequately the City's needs. **The performance specifications and any plans shall be prepared by a design professional who is duly licensed and registered in California.**]**