



The Contract will require that the Contractor shall dispose of any hazardous wastes under its own EPA generator number. Please provide your EPA Generator Number:

<b>Generator Number</b>	<b>Firm Name</b>	<b>Expiration Date</b>

**B. CURRENT ORGANIZATION AND STRUCTURE**

Complete the section below for the appropriate type of firm:

**For Firms That Are Corporations:**

- 1a. Date incorporated: \_\_\_\_\_
- 1b. Under the laws of what state: \_\_\_\_\_
- 1c. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten percent of the corporation's stock:

<b>Name</b>	<b>Position</b>	<b>Years with Firm</b>	<b>% Ownership</b>

**For Firms That Are Limited Liability Companies (LLC):**

- 1a. Date Article of Organization filed: \_\_\_\_\_
- 1b. Under the laws of what state: \_\_\_\_\_
- 1c. Provide all the following information for all members of the LLC:

<b>Name</b>	<b>Position</b>	<b>Years with Firm</b>	<b>% Ownership</b>

**For Firms That Are Partnerships:**

- 1a. Date incorporated: \_\_\_\_\_
- 1b. Under the laws of what state: \_\_\_\_\_
- 1c. Provide all the following information for each partner who owns ten percent or more of the firm.

Name	Position	Years with Firm	% Ownership

**For Firms That Are Sole Proprietorships:**

- 1a. Date of commencement of business \_\_\_\_\_
- 1b. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.  
**NOTE: For this question, “owner” and “partner” refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.**

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

**For Firms That Intend to Make a Bid as Part of a Joint Venture:**

- 1a. Date of commencement of joint venture: \_\_\_\_\_
- 1b. Provide all the following information for each firm that is a member of the joint venture that expects to bid on one or more projects

Name of Construction Firm	% Ownership

**Note: Explain on a separate sheet. Provide all other pertinent information required in the sections above, for each Corporation, LLC, Partnership, or Sole-Proprietorship that is a part of the Joint Venture.**

**For All Firms:**

1. State your firm's gross revenues for each of the last three fiscal years:  
Current year (\$): \_\_\_\_\_  
Previous year (\$): \_\_\_\_\_  
Year prior to previous year (\$): \_\_\_\_\_
2. How many years has your firm been in business in California as a contractor under your present business name and license number? \_\_\_\_\_
3. How many years' experience does your firm have as a prime contractor in California?  
\_\_\_\_\_
4. How many years' experience does your firm have as a subcontractor in California?  
\_\_\_\_\_
5. Bonding Capacity – Provide documentation from your surety identifying the following:  
Name of Bonding Company/Surety: \_\_\_\_\_  
Name of Surety Agent: \_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone number: \_\_\_\_\_
6. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:  
Current year rate: \_\_\_\_\_  
Previous year rate: \_\_\_\_\_  
Year prior to previous year rate: \_\_\_\_\_
7. Has your firm changed names or license number in the past five years?  Yes  No  
(If yes, explain on a separate sheet, including the reason for the change.)
8. Is your firm a subsidiary, parent, holding company or affiliate of another construction firm?  Yes  No  
(If yes, explain on a separate sheet.)  
**NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.**

**C. ESSENTIAL CRITERIA QUESTIONS**

1	Does your firm possess a valid and current California Contractor's or other professional license as required by law for the project or projects for which it intends to submit a bid?	Yes / No
2	Is your firm registered with DIR as a Public Works Contractor for the current fiscal year?	Yes / No
3	Does your firm have a liability insurance policy with a policy limit of at least \$1,000,000 per occurrence and \$2,000,000 aggregate?	Yes / No
4	Does your firm have current workers' compensation insurance policy as required by the Labor Code or is your firm legally self- insured pursuant to Labor Code section 3700 et. seq.?	Yes / No
5	<p>Have you attached your firm's latest copy of reviewed or audited financial statements with accompanying notes and supplemental information? *</p> <p>NOTE: Financial statements that are not either reviewed or audited are not acceptable. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statements.</p> <p>* Public Contract Code section 20101(e) exempts from this requirement a contractor who has qualified as a small business pursuant to Government Code section 14837(d)(1), if the bid is "no more than 25 percent of the qualifying amount provided in section 14837(d)(1)." As of January 1, 2001, the qualifying amount is \$10 million, and 25 percent of that amount, therefore, is \$2.5 million.</p>	Yes / No
6	<p>Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) authorized to issue bonds in the State of California, which states that: (a) your current bonding capacity is sufficient for the project for which you seek pre-qualification if you are seeking pre-qualification for a single project; or valid for a year if you are seeking pre-qualification valid for a year; and (b) your current available bonding capacity? **</p> <p>** An additional notarized statement from the surety may be requested by the District at the time of submission of a bid, if this pre-qualification questionnaire is submitted more than 60 days prior to submission of the bid.</p> <p>NOTE: Notarized statement must be from the surety company, not an agent or broker.</p>	Yes / No
7	Has your contractor's or other professional license been revoked at any time in the last five years?	Yes / No
8	Has a surety firm completed a contract on your behalf, or paid for completion because your firm was in default and/or terminated by the project owner within the last five years?	Yes / No
9	Is your firm, any of its officers, supervisors, managers, or any firm or individual identified above in Section A and/or Section B, ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to Labor Code section 1777.1, Labor Code section 1777.7, or any other federal, state, county, municipal or other local law providing for the debarment of contractors from public works?	Yes / No
10	Has your firm, any of its officers, supervisors, managers, or any firm or individual identified above in Section A and/or Section B been convicted of a crime involving the awarding of a contract of a government construction project, the bidding or performance of a government contract, antitrust statutes, racketeering statutes, safety and health regulations, environmental laws, laws banning workplace discrimination, laws governing	Yes / No

	wages, hours or labor standards, or laws involving fraud, theft, or any other act of dishonesty?	
11	Is your firm currently the debtor in a bankruptcy case?  (If yes, attach a copy of the bankruptcy petition showing the case number and date on which the petition was filed.)	Yes / No
12	Has your firm, any of its officers, supervisors, managers, or any firm or individual identified above in Section A and/or Section B ever been terminated from a public works contract, including but not limited to termination based on any misconduct, such as failure to comply with contractual, statutory, or other legal obligations from any public construction project?	Yes / No
13	Does your firm, any of its officers, supervisors, managers, or any firm or individual identified above in Section A and/or Section B currently have any delinquent liability to an employee, the state, or any awarding body for any assessment of back wages or related damages, interest, fines or penalties pursuant to any final judgment, order, or determination by any court or any federal, state, or local administrative agency, including a confirmed arbitration award?	Yes / No

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

\*\* An additional notarized statement from the surety may be requested by the District at the time of submission of a bid, if this pre-qualification questionnaire is submitted more than 60 days prior to submission of the bid.

## **D. QUALIFICATION QUESTIONS**

<b>ID</b>	<b>Question</b>	<b>Response</b>
1	<p>Insurance requirements for the construction Contract for the Project are likely to include:</p> <ul style="list-style-type: none"> <li>- Commercial General Liability insurance - \$1,000,000 per occurrence</li> <li>- Business Automobile Liability - \$2,000,000 per occurrence</li> <li>- Workers' Compensation and Employers' Liability Insurance - \$5,000,000 per accident and \$5,000,000 per disease, with policy limit of \$5,000,000 (Including Longshoreman's and Harbor Workers Act Insurance if applicable)</li> <li>- Marine General Liability (only required if Contractor uses a vessel for the Project, which is not anticipated) - \$5,000,000 per occurrence</li> <li>- Protection and Indemnity, Collision Liabilities and Vessel Pollution insurance (only required if Contractor uses a vessel for the Project, which is not anticipated) - \$5,000,000 limit</li> </ul> <p>Does your firm have the capacity to meet these requirements? Please provide supporting documentation to support your response.</p>	Yes / No
2	<p>In the last 5 years, has your firm, or any of its officers, supervisors, or managers, been a party in any civil litigation or administrative proceeding alleging violation of any of the following: contract antitrust statutes, racketeering statutes, safety and health regulations, environmental laws, laws banning workplace discrimination, laws governing wages, hours or labor standards, or laws involving fraud, theft, or any other act of dishonesty?</p> <p>(Explain on a separate sheet. Provide details including the nature of the claims and defenses, caption, date, case or docket number, name of the court or agency before which the case is pending or which it was heard, and current status.)</p>	Yes / No
3	<p>In the last five years, has your firm, or any of its officers, supervisors, or managers, been a party in any civil litigation or administrative proceeding alleging a violation by a subcontractor hired by your firm of any of the following: contract antitrust statutes, racketeering statutes, safety and health regulations, environmental laws, laws banning workplace discrimination, laws governing wages, hours or labor standards, or laws involving fraud, theft, or any other act of dishonesty?</p> <p>(Explain on a separate sheet. Provide details including the nature of the claims and defenses, caption, date, case or docket number, name of the court or agency before which the case is pending or which it was heard, and current status.)</p>	Yes / No
4	<p>In the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?</p> <p>(Explain on a separate sheet. Identify all such projects by owner, owner's address, date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.)</p>	Yes / No
5	<p>In the last 5 years has your firm, or any of its officers, supervisors, or managers, ever been convicted of a crime involving any federal, state, or local law related to construction?</p> <p>(Explain on a separate sheet. Identify who was involved, name of the public agency, date of conviction, and grounds for conviction.)</p>	Yes / No
6	<p>How many times has your firm, or any of its officers, supervisors, or managers, ever been found liable in a civil suit or convicted of a federal or state crime of fraud, theft, or involving any other act of dishonesty, such as making any false claim or material misrepresentations?</p> <p>(Explain on a separate sheet. Identify the person or persons convicted or found liable, court [the county if a state court, the district or location if federal court], year, and conduct involved.)</p> <p>NOTE: The following two questions refer only to disputes between your firm and the owner of</p>	Yes / No



	a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about “pass-through” disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes involving amounts of less than \$50,000.	
7	In the last five years has any claim against your firm concerning your firm’s work on a construction project been filed in court or arbitration?  (Explain on a separate sheet. 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 [e.g. "pending" or, if resolved, a brief description of the resolution].)	Yes / No
8	In the last five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?  (Explain on a separate sheet. Identify the claim(s) 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 [e.g. "pending" or if resolved, a brief description of the resolution].)	Yes / No
9	In the last five years has CalOSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violation(s) or the federal Occupational Safety and Health Administration cited and assessed penalties against your firm for violation(s) of safety or health regulations?  NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.	Yes / No
10	In the last five years has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor?  (Explain on a separate sheet describing each citation.)  NOTE: If you have filed an appeal of a citation and the Appeals Board has not yet ruled on your appeal, or if there is a court appeal pending, you need not include information about the citation.	Yes / No



**NOTE: Omissions, misrepresentations and any failure to disclose associations with other firms or any prior history of alleged violations may lead to loss of your eligibility to register as a Public Works Contractor, disqualification of bids, and/or grounds for termination of a contract.**



**E. PROJECT REFERENCES**

Provide information about the firm’s 3 most relevant completed public works projects within the past 5 years. If needed non-Public Works project examples may be provided. Additional project examples may also be provided. The projects should demonstrate your team’s experience working in the California marine environment (preferably projects that entail construction on or along a shoreline or marsh or that includes habitat restoration components) and complying with resource agency permits (e.g. California Coastal Commission, U.S. Army Corps of Engineers, Regional Water Quality Control Board). Example project experience working in the California marine environment shall also list Contractor’s staff who that worked on the example project and are proposed to work on the Pillar Point West Trail Living Shoreline Project. A separate project description and draft plan set have been provided to show the nature of the work in the Pillar Point West Trail Living Shoreline Project. Names and references must be current and verifiable. **Use separate sheets of paper that contain all of the following information\*:**

For General Contractors: Only list projects your firm performed as the general contractor.

For Subcontractors: Only list projects your firm performed as the prime contractor if a single trade job or as a subcontractor on a multiple trade contract. For multiple trade contracts, indicate the general contractor’s name and contact information.

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

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

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

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

Architect or Engineering Firm: \_\_\_\_\_

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

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

Inspector of Record (name and current phone number): \_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

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

Date Construction Commenced: \_\_\_\_\_

Original Contractual Completion Deadline: \_\_\_\_\_

Adjusted Completion Deadline Based on  
Time Extensions Granted by Owner: \_\_\_\_\_

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

General Contractor’s Project Manager (lead contact in office), if applicable: \_\_\_\_\_

General Contractor’s Superintendent (lead contact on project site), if applicable: \_\_\_\_\_





**G. CERTIFICATION**

Questionnaires submitted by corporations must be signed with the legal name of the corporation, followed by the name of the state of incorporation and by the signature and designation of the chairman of the board, president or any vice president, and then followed by a second signature by the secretary, assistant secretary, the chief financial officer or assistant treasurer. All persons signing must be authorized to bind the corporation in the matter. The name of each person signing shall also be typed or printed below the signature. Satisfactory evidence of the authority of each officer signing on behalf of a corporation shall be furnished.

Questionnaires submitted by partnerships must furnish the full name of all partners and must be signed in the partnership name by a general partner with authority to bind the partnership in such matters, followed by the signature and designation of the person signing. The name of the person signing shall also be typed or printed below the signature.

**Each person signing below makes the following representations under penalty of perjury:**

The submitter of the foregoing answers to the questionnaire has read the same and the matters stated therein are true to the best of his or her own personal knowledge. This information is provided for the purpose of qualifying to bid on the Project, and any individual, company or other agency named herein is hereby authorized to supply the awarding body with any information necessary to verify the prospective bidder's statements. By signing below, the submitter and the named contractor hereby grant permission to the District to contact any or all of the above listed persons or entities to confirm facts or otherwise investigate the above facts and issues.

The submitter understands that any statement which is proven to be false shall be grounds for immediate disqualification from bidding on the Project. The submitter whose signature appears below represents and warrants that he or she has authority to bind the named contractor.

I, \_\_\_\_\_ (Name), the undersigned, am the \_\_\_\_\_ (Title), with the authority to act for and on behalf of \_\_\_\_\_ (Contractor Entity Name), declare under penalty of perjury under the laws of the State of California that the foregoing information provided in this Pre-qualification Questionnaire is true, full, and correct.

I understand that making a false statement may result in disqualification from bidding on any public works project, registering as a Public Works Contractor with the Department of Industrial Relations, and may be grounds for termination of a public works contract.

Executed on this: \_\_\_\_\_ day of \_\_\_\_\_ at \_\_\_\_\_.  
(Date) (Month / Year) (City / State)

Name of Contractor Representative: \_\_\_\_\_

Signature of Contractor Representative: \_\_\_\_\_

# SCORING WORKSHEET

## PRE-QUALIFICATION QUESTIONS AND SCORING

Weighting	Description
<b>0%</b>	<b>Section A: Contractor Information</b>
	If the license/registration numbers etc. are not provided the firm will automatically be disqualified (unless a suitable explanation is provided in lieu of the required response)
<b>0%</b>	<b>Section B: Current Organization and Structure</b>
	Questions are for information purposes
<b>0%</b>	<b>Section C: Essential Criteria Questions</b>
	Contractor is immediately disqualified if: - Any answer to questions 1 through 6 is “NO” - Any answer to questions 7 through 13 is “YES”
<b>20%</b>	<b>Section D: Qualification Questions</b>
20%	Each response is Yes / No. A Yes = 1 and "No" = 0
	Note: Total of 13 questions. Score is calculated (number of "Yes" / 10 x 30%)
<b>60%</b>	<b>Section E: Project References and Examples (Score 1-5 see Note 1)</b>
30%	Project Example 1 - most relevant to the Point Harbor West Trail Living Shoreline Project
20%	Project Example 2 - second most relevant to the Point Harbor West Trail Living Shoreline Project
10%	Project Example 3 - third most relevant to the Point Harbor West Trail Living Shoreline Project
<b>20%</b>	<b>Section F: Contractor Capacity (Score 1-5 see Note 2)</b>
8%	Proposed Personnel
8%	Proposed Equipment
4%	current Contract Work (is the Contractor overcommitted at the time of this project, has the contractor been successfully awarded contracts recently)
<b>100%</b>	

**A contractor is PRE-QUALIFIED if the total score above is: 65% or MORE**  
**A contractor is DISQUALIFIED if the total score above is: LESS THAN 65%.**

**Notes:**

1. Score 1 - 5 with 1 having low relevancy to the Project 5 being highly relevant to project, in particular shoreline work and work within the intertidal zone are considered highly relevant.
2. Score 1 - 5 with 1 having low experience/capacity/ability to complete the work and 5 having high experience/capacity/ability to complete the work
3. Scores may change following interviews with references or checks with other information sources.