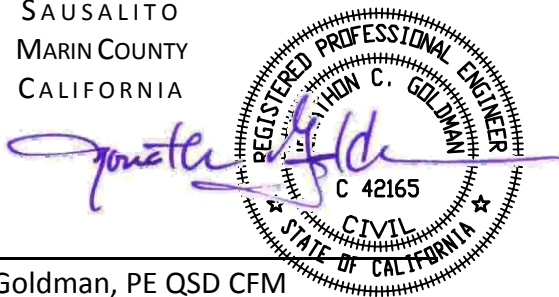


**NOTICE
TO
CALIFORNIA CLASS "A" GENERAL ENGINEERING CONTRACTORS**

INVITING SUBMITTAL OF PRE-QUALIFICATION PACKAGES
FOR
GENERAL ENGINEERING CONTRACTORS WISHING TO BID ON
THE CITY OF SAUSALITO PUBLIC WORKS PROJECT:

CONSTRUCTION OF PERMANENT TENSIONED GEOBRUGG TECCO® SLOPE STABILIZATION
EASTERLY DOWNSLOPE OF 800 BLOCK OF OLIMA STREET
[LAT. 37.868748°, LONG. -122.506362°]

SAUSALITO
MARIN COUNTY
CALIFORNIA



Issued by: _____

Jonathon C. Goldman, PE QSD CFM
Director of Public Works, City Engineer and ADA Coordinator
California Civil Engineer No.: C042165
Sealed: 13FEB18
Expires: 31MAR18

February 13, 2018

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APPLICATION FOR PREQUALIFICATION

This Application for Prequalification (AFP) document is being distributed with the intent to pre-qualify general engineering contractors for construction of permanent, tensioned Geobrug AG TECCO® slope stabilization on the easterly downslope of the 800 block of Olima Street in the City of Sausalito, Marin County, California (the "Project"). All California-licensed Class "A" (General Engineering) contractors are invited to review the AFP and respond to all items. Responses received will be evaluated and used by the City of Sausalito to identify qualified general engineering contractors to bid on the Project.

Complete all parts of this AFP and return one (1) original with attachments in a sealed envelope labeled: **CONFIDENTIAL QUALIFICATIONS SUBMITTAL** to:

Jonathon Goldman
City of Sausalito
420 Litho Street
Sausalito, California 94965-1933
(415) 289-4176

AFP documents are DUE by 4:00 PM, local time, Friday, March 2, 2018. If hand-delivered, please request that the person accepting the delivery date-stamp and note the time with their initials on both the AFP package or cover sheet and on a receipt to be retained by the person making the delivery. No fax or e-mail copies will be accepted. Submittals received after the specified time and date, or submittals without a date-stamp, time notation and initials from a City employee will not be considered and will be returned unopened to the sender.

A Pre-Qualification Conference for interested parties will take place on **Thursday, February 22, 2018 at 2:00 PM in the City of Sausalito Council Chambers, located at 420 Litho Street, Sausalito, California. The meeting will include a presentation on the Project, and will allow for questions regarding the Pre-qualification Package. **This Conference is optional, and is not mandatory.****

A Mandatory Pre-Bid Conference for PRE-QUALIFIED Contractors will take place following issuance of Notice Inviting Bids for construction of the Project.

The City expects to deliver the Project through a single prime contract awarded on a Lump Sum bid basis. The City expects to open bids in April, 2018 with commencement of construction expected in May, 2018. The City's estimate of probable construction cost is \$175,000 and the estimated construction duration is approximately 3 months.

GENERAL INSTRUCTIONS AND INFORMATION

A. General Information

A current California general engineering (Class A) contractor's license is required.

This AFP is required irrespective of and in addition to any prequalification for City of Sausalito work which a general contractor may already have on file.

Prequalification by the City of Sausalito for this Project shall remain valid until 60 days after the Project bids are opened.

Each partner of a joint venture seeking to pre-qualify must individually meet the conditions of General Contractor's Evaluation Form; including but not limited to the requirement that each partner's Contractor's License has not been suspended, put on probation or revoked at any time in the last five (5) years.

Limited Liability Corporations (LLC) will be required to comply with a Guaranty of Obligations.

B. Data Required

All portions of the AFP Parts I through VI are required, with additional information to be attached if the space provided does not suffice. Failure to include required information called for may result in disqualification. It is essential that construction experience of the general contractor be demonstrated, as such experience is considered in establishing prequalification.

A minimally pre-qualified contractor shall demonstrate the following qualifications (from the specifications for the Project):

Contractor Qualifications

Contractor shall hold a California Class "A" General Engineering Contractor's license in good standing at the time of pre-qualification and throughout the duration of the Project. The Contractor must have a minimum of five years' experience installing similar systems under similar conditions. In order to be considered for pre-qualification and subsequently receive the City's Notice Inviting Bids, the Contractor shall submit a Project Reference List verifying the following:

The Contractor must be experienced in the construction of permanent tensioned Geoblogg TECCO® Slope Stabilization systems and have successfully constructed at least 3 systems in the last 3 years. Submit a list with a brief description including the names

and phone numbers of the project owner's representatives who can verify the Contractor's participation in the required 3 projects.

Submit a list of personnel including on-site supervisors, drill operators, and other personnel to be used for the construction operations for the Project who possess the required experience installing permanent tensioned Geobruigg TECCO® Slope Stabilization systems. Include personnel in the listing that has relevant experience from the past 5-years pertaining to the installation of permanent tensioned Geobruigg TECCO® Slope Stabilization systems. Drilling operators and foreman shall have a minimum of 2 years of experience installing permanent ground anchors with the Contractor's organization. Submit documentation that the project's personnel have appropriate qualifications. Once the successful bidding contractor has been notified of the City's intent to award the contract, changes to previously-approved personnel may only occur if approved in writing by the Engineer and Owner. A proposed change in personnel that would result in loss of pre-qualification is grounds for termination of the contract.

When necessary, the Contractor shall locate and retain a specialty subcontractor(s) to perform tasks per the specifications. The specialty contractor(s) shall be approved by the Engineer prior to being mobilized and commencing work. Submittal of a list of subcontractor(s) with the experience and personnel details required for the prime Contractor is required at the pre-qualification step. Once the successful bidding contractor has been notified of the City's intent to award the contract, changes to previously-approved subcontractor(s) shall be approved in writing by the Engineer and Owner. A proposed change in subcontractor(s) or subcontractor(s) personnel that would result in loss of pre-qualification is grounds for termination of the contract.

Contractor may not use consultants or manufacturer's representatives to satisfy the requirements of this section.

NOTE: The City regards the AFP packages (questionnaire answers and financial statements) submitted by Contractors as confidential business information and not open to public inspection as public records. All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in any appeal hearing. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure, and the first page of the questionnaire will be used for that purpose.

C. Current Financial Information

Contractor shall provide a complete financial statement indicating organization's financial condition certified by the owner, officer, partner, manager, member or R.M.E., along with an Accountant's Certificate prepared by a Certified Public Account with no financial interest in the applicant's organization. The financial statement provided shall

not be older than six (6) months prior to the date of filing the AFP. The financial statement is to be reviewed, audited, and submitted with any accompanying notes and supplemental information. The City of Sausalito reserves the right to reject contractors submitting financial condition more than six (6) months (i.e. more than 180 calendar days) prior to the date of submittal of the AFP to the City.

Accountant's Certificate

The certificate of a Certified Public Accountant ("CPA") is required. A suggested form of certificate is included which may be used if applicable. However, it will be acceptable for the CPA to submit a certificate in their own words, including such qualifications as may be necessary in view of the scope of this assignment, provided that such qualifications shall not be so extensive as to nullify the value of the statement or its usefulness to the City of Sausalito. Certificate shall be signed and shall indicate license/certificate number.

Bearing in mind that working capital is an important factor in determining the prequalification of the general contractor, the accountant will perform a valuable service for their client and at the same time assist the City of Sausalito, if they will furnish, by supplemental schedules or as part of their certificate, any information not specifically called for by the statement which in their opinion might be taken into consideration.

In the event that the general contractor's job income and expenditures are accounted on a completed contract basis and the balance sheet includes an item reflecting the excess of costs to date over billings to date, or vice versa, the elements of "Accumulated Costs" and "Billings to Date" must be shown in support of the balance sheet item.

Affidavits

The appropriate affidavits and certificates must be completely executed or the statement will be disqualified.

D. Questions

General Contractors are required to submit any questions in writing no later than **noon, Sausalito time, Monday February 26, 2018**. No other questions will be received after deadline. Only written inquiries will be permitted. Copies of all questions and answers will then be distributed on or before **noon, Tuesday February 27, 2018** in a written document.

Questions must be submitted in writing, *via* electronic message or U.S. Mail, to the Project Manager:

Jonathon Goldman
City of Sausalito
420 Litho Street
Sausalito, California 94965-1933
(415) 289-4176
jgoldman@sausalito.gov

The City will only respond to written inquiries. Under no circumstance should any prospective general contractors or anyone receiving the Application for Prequalification, contact, discuss with, or inquire of any City consultant, employee, or elected official on any matter relating to this solicitation process other than the Project Manager. This requirement is to ensure that the same information is communicated to all parties and that no inconsistent, incomplete, or inaccurate information is transmitted separately. Failure to comply with this requirement may result in disqualification of the contractor for the Project.

E. Appeal Rights

Where a timely and completed application results in a rating below that necessary to pre-qualify, an appeal can be made. An appeal must be initiated by the appealing Contractor delivering written notice to the City of Sausalito of Contractor's appeal of the decision with respect to its pre-qualification rating. Such appeal must be made no later than ten (10) business days following the date postmarked of written notification from City of Sausalito that the Contractor does not meet the rating established by City of Sausalito. Without a timely appeal, the Contractor waives any and all rights to challenge the decision of City of Sausalito, whether by administrative process, judicial process or any other legal process or proceeding.

If the Contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than ten (10) business days after City of Sausalito's receipt of the notice of appeal. The hearing shall be an informal process conducted by an Appeals Panel to which the City Manager's Office has delegated responsibility to hear such appeals. At or prior to the hearing, the Contractor will be advised of the basis for City of Sausalito's pre-qualification determination. The Contractor will be given the opportunity to present information and present reasons in opposition to the rating. Within one day after the conclusion of the hearing, the Appeals Panel will render its decision which shall be final and not subject to further appeal. It is the intention of the City of Sausalito that the date for the submission and opening of bids will not be delayed or postponed to allow for completion of an appeal process.

NOTE: A contractor may be found not pre-qualified for reasons including but not limited to:

- Omission of requested information or
- Falsification of information

F. PROJECT OVERVIEW

Project Location

The Project will be built on private property located adjacent to property owned in fee by the City of Sausalito. The owner of the private property has granted the City the right to access its property for the purposes of delivering the Project. The City will allow the contractor awarded the Project to use its property for access to the Project site subject to certain restrictions associated with noise control and the rights of City tenants on the subject City property.

Project Description

The Project will be administered under one General Contract and will encompass the construction of a tensioned TECCO® system with an underlying erosion control mat to retain virtually all of the material on the slope. This will eliminate the maintenance required by build-up of sloughed material behind an existing chain link fence at the toe of the slope on City property. The erosion control mat will allow vegetation to reestablish easily and further camouflage the TECCO system for a natural slope appearance. The system will begin at an existing soldier-pile and lagging tied-back wall and extend to areas outside the limits of the tie-back wall. In the areas where the tie-back wall is not present, the TECCO system will extend approximately 3-ft beyond the crest of the slope. The bottom of the system will extend down approximately to the elevation of the roof of the existing utility building, approximately a 10-ft slope distance from the toe of the slope. The recommended covered area of the slope is an estimated 60-ft wide by 80-ft long, totaling approximately 4,800-ft². The deep depressions formed from the erosional channels shall be considered by the Contractor when ordering material for the system installation.

G. APPLICATION FOR PRE-QUALIFICATION

EVALUATION CRITERIA

In soliciting Applications for Pre-Qualification in conjunction with the Project the City of Sausalito intends to conform to the relevant provisions of California Public Contract Code, Section 20101 enacted as part of Assembly Bill 574 using the California Department of Industrial Relations, Model Forms for Prequalification and suggested scoring method¹, focusing on the following:

¹ <https://www.dir.ca.gov/prequal.htm>

Qualifications the City will consider include:

- General Contractor's or entity's current ability and history to secure Liability and Workers' Compensation insurance
- Proper licensing
- Ability to secure required bonding
- Financial ability
- History of litigation and claims; or other adverse actions
- Safety record

Experience to be evaluated will include:

- History of firm/entity
- Organization of firm/entity
- Relevant experience of firm/entity
- Proposed management team for Project and proposed key personnel
- Experience of proposed key personnel to be assigned to Project
- Firm's/entity's experience in successfully completing similar public works projects

The specific documents to be filled out or created on separate sheets and submitted are the following:

Part I	Cover Sheet
Part II	Essential Requirements for Qualification
Part III	Organization, History, Organizational Performance, Compliance with Civil and Criminal Laws
Part IV	Organization's Statement of Experience and Recent Construction Projects Completed
Part V	Organization's Financial Statements, Surety and Bonding Requirements, and Insurance Requirements

PART I. COVER SHEET

CONTACT INFORMATION

Firm Name: _____ Check One: Corporation
(as it appears on license) Partnership
 Sole Prop.

Contact Person: _____

Address: _____

Phone: _____ Fax: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company _____

Contractor's License Number(s):

PART II. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

Contractor will be immediately disqualified if the answer to any of questions 1 through 5 is “No.”²

Contractor will be immediately disqualified if the answer to any of questions 6, 7, 8 or 9 is “yes.”³ If the answer to question 8 is “yes,” and if debarment would be the sole reason for denial of pre-qualification, any pre-qualification issued will exclude the debarment period.

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

Yes No

2. Contractor has a liability insurance policy with a policy limit of at least \$1,000,000 per occurrence and \$2,000,000 aggregate.

Yes No

Contractor has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 *et seq.*

Yes No Contractor is exempt from this requirement, because it has no employees

Have you attached your latest copy of a reviewed or audited financial statement with accompanying notes and supplemental information.⁴

Yes No

NOTE: A financial statement that is neither reviewed nor audited is not acceptable. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statement.

² A “No” answer to Question 4 will not be disqualifying if the contractor is exempt from complying with Question 4, for reasons explained in footnote 3.

³ A contractor disqualified solely because of a “Yes” answer given to question 6, 7, or 9 may appeal the disqualification and provide an explanation of the relevant circumstances during the appeal procedure.

⁴ Public Contract Code section 20101(e) exempts from this requirement a contractor who has qualified as a small business pursuant to Government Code section 14837(d)(1), if the bid is “no more than 25 per cent of the qualifying amount provided in section 14837(d)(1).” Currently, the qualifying amount is \$175,000, therefore, for this section to apply, the bid must be no more than 25 per cent of that amount, or \$43,750.

Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states: (a) that your current bonding capacity is sufficient for the project for which you seek pre-qualification if you are seeking pre-qualification for the Project?⁵

Yes No

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

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

Yes No

Has a surety firm completed a contract on your behalf, or paid for completion because your firm was default terminated by the project owner within the last five (5) years?

Yes No

At the time of submitting this pre-qualification form, is your firm ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

Yes No

If the answer is "Yes," state the beginning and ending dates of the period of debarment:

At any time during the last five years, has your firm, or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?

Yes No

⁵ Public Entity may request an additional notarized statement from the surety at the time of submission of a bid, if this pre-qualification package is submitted more than 60 days prior to submission of the bid.

PART III. ORGANIZATION, HISTORY, ORGANIZATIONAL PERFORMANCE, COMPLIANCE WITH CIVIL AND CRIMINAL LAWS

A. Current Organization and Structure of the Business

For Firms That Are Corporations:

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

Name	Position	Years with Co.	% Ownership	Social Security #

- 1d. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or 10 per cent or more of its stock, if the business is a corporation.

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

For Firms That Are Partnerships:

- 1a. Date of formation: _____
- 1b. Under the laws of what state: _____
- 1c. Provide all the following information for each partner who owns 10 per cent or more of the firm.

Name	Position	Years with Co.	% Ownership	Social Security #

- 1d. Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.

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

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business. _____
- 1b. Social security number of company owner. _____
- 1c. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years.

NOTE: For this question, “owner” and “partner” refer to ownership of ten per cent or more of the business, or ten per cent or more of its stock, if the business is a corporation.

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

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

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

Name of firm	% Ownership of Joint Venture

B. History of the Business and Organizational Performance

- 2. Has there been any change in ownership of the firm at any time during the last three years?

NOTE: A corporation whose shares are publicly traded is not required to answer this question.

Yes No

If “yes,” explain on a separate signed page.

- 3. Is the firm a subsidiary, parent, holding company or affiliate of another construction firm?

NOTE: Include information about other firms if one firm owns 50 per cent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.

Yes No

If “yes,” explain on a separate signed page.

- 4. Are any corporate officers, partners or owners connected to any other construction firms.

NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.

Yes No

If “yes,” explain on a separate signed page.

5. State your firm's gross revenues for each of the last three years:

6. How many years has your organization been in business in California as a contractor under your present business name and license number? _____ years

7. Is your firm currently the debtor in a bankruptcy case?

Yes No

If "yes," please attach a copy of the bankruptcy petition, showing the case number, and the date on which the petition was filed.

8. Was your firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above)

Yes No

If "yes," please attach a copy of the bankruptcy petition, showing the case number and the date on which the petition was filed, and a copy of the Bankruptcy Court's discharge order, or of any other document that ended the case, if no discharge order was issued.

Licenses

9. List all California construction license numbers, classifications and expiration dates of the California contractor licenses held by your firm:

10. If any of your firm's license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the CSLB records who meet(s) the experience and examination requirements for each license.

11. Has your firm changed names or license number in the past five years?

Yes No

If "yes," explain on a separate signed page, including the reason for the change.

12. Has any owner, partner or (for corporations:) officer of your firm operated a construction firm under any other name in the last five years?

Yes No

If "yes," explain on a separate signed page, including the reason for the change.

13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

Yes No

If "yes," please explain on a separate signed sheet.

Disputes

14. At any time in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?

Yes No

If yes, explain on a separate signed page, identifying all such projects by owner, owner's address, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

15. In the last five years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

NOTE: "Associated with" refers to another construction firm in which an owner, partner or officer of your firm held a similar position, and which is listed in response to question 1c or 1d on this form.

Yes No

If "yes," explain on a separate signed page. State whether the firm involved was the firm applying for pre-qualification here or another firm. Identify by name of the company, the name of the person within your firm who was associated with that company, the year of the event, the owner of the project, the project and the basis for the action.

16. In the last five years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible bidder?

Yes No

If "yes," explain on a separate signed page. Identify the year of the event, the owner, the project and the basis for the finding by the public agency.

* * * * *

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You need not include information about "pass-through" disputes in which the actual dispute is between a sub-contractor and a project owner. Also, you may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five years has any claim against your firm concerning your firm's work on a construction project been filed in court or arbitration?

Yes No

If "yes," on separate signed sheets of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

18. In the past five years has your firm made any claim against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes No

If "yes," on separate signed sheets of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

* * * * *

19. At any time during the past five years, has any surety company made any payments on your firm's behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm's behalf, in connection with a construction project, either public or private?

Yes No

If "yes," explain on a separate signed page the amount of each such claim, the name and telephone number of the claimant, the date of the claim, the grounds for the claim, the present status of the claim, the date of resolution of such claim if resolved, the method by which such was resolved if resolved, the nature of the resolution and the amount, if any, at which the claim was resolved.

20. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?

Yes No

If "yes," explain on a separate signed page. Name the insurance carrier, the form of insurance and the year of the refusal.

Criminal Matters and Related Civil Suits

21. Has your firm or any of its owners, officers or partners ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public agency or entity?

Yes No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the investigation and the grounds for the finding.

22. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No

If "yes," explain on a separate signed page, including identifying who was involved, the name of the public agency, the date of the conviction and the grounds for the conviction.

23. Has your firm or any of its owners, officers or partners ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes No

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

Bonding

24. Bonding capacity: Provide documentation from your surety identifying the following:

Name of bonding company/surety: _____

Name of surety agent, address and telephone number:

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

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

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

Yes No

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

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

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

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

Yes No

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

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

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

Yes No

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

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

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

Yes No

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

31. How often do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

32. List your firm's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.

Current year: _____

Previous year: _____

Year prior to previous year: _____

If your EMR for any of these three years is or was 1.00 or higher you may, if you wish, attach a letter of explanation.

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

Yes No

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

the period that your firm has been in the construction business.)

Prevailing Wage and Apprenticeship Compliance Record

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

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

Yes No

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

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

Yes No

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

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

37. If your firm operates its own State-approved apprenticeship program:

- (a) Identify the craft or crafts in which your firm provided apprenticeship training in the past year.

- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).

- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

38. At any time during the last five years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

NOTE: You may omit reference to any incident that occurred prior to January 1, 1998, if the violation was by a subcontractor and your firm, as general contractor on a project, had no knowledge of the subcontractor's violation at the time they occurred.

Yes No

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

PART III. RECENT CONSTRUCTION PROJECTS COMPLETED

39. Contractor shall provide information about its six most recently completed public works projects and its three largest completed private projects within the last three years.⁶ Names and references must be current and verifiable. Use separate sheets of paper that contain all of the following information:

Project Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Architect or Engineer: _____

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

Construction Manager (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

⁶ If you wish, you may, using the same format, also provide information about other projects that you have completed that are similar to the project(s) for which you expect to bid. A firm with fewer than 3 private projects may list up to 9 public projects.

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

40. To the extent that the projects listed in response to question 39 above do not include any or all of the required minimum of 3 permanent tensioned Geobruigg TECCO® Slope Stabilization systems the Contractor has successfully constructed in the last 3 years, provide all of the following information regarding those projects:

Project Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Architect or Engineer: _____

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

Construction Manager (name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

- 41. Submit a list of personnel including on-site supervisors, drill operators, and other personnel to be used for the construction operations for the Project who possess the required experience installing permanent tensioned Geobrugg TECCO® Slope Stabilization systems. Include personnel in the listing that has relevant experience from the past 5-years pertaining to the installation of permanent tensioned Geobrugg TECCO® Slope Stabilization systems. Drilling operators and foreman shall have a minimum of 2 years of experience installing permanent ground anchors with the Contractor's organization. Submit documentation that the project's personnel have appropriate qualifications.

NOTE: Once the successful bidding contractor has been notified of the City's intent to award the contract, changes to previously-approved personnel may only occur if approved in writing by the Engineer and Owner. A proposed change in personnel that would result in loss of pre-qualification is grounds for termination of the contract.

- 42. List specialty subcontractor(s) Contractor proposes to use to perform work in the Project along with the experience and personnel details required of the prime Contractor that apply to the specialty subcontractor(s).

NOTES: Once the successful bidding contractor has been notified of the City's intent to award the contract, changes to previously-approved subcontractor(s) shall be approved in writing by the Engineer and Owner. A proposed change in subcontractor(s) or subcontractor(s) personnel that would result in loss of pre-qualification is grounds for termination of the contract.

Contractor may not use consultants or manufacturer's representatives to satisfy the requirements of this section.

* * * * *

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

Name: _____ Dated: _____
(Name Printed)

Signed: _____

PART V. ORGANIZATION'S FINANCIAL STATEMENT

Financial Statement and Supplemental Information

Financial prequalification may be established by determining capacity to perform the City of Sausalito contract in the following manner:

Working capital is determined from the most recent balance sheet submitted, by subtracting the current liabilities from current assets.

Available lines of credit or other credit facilities are then added to the working capital, and then the sum is multiplied by ten (10).

Uncompleted work on current contracts, which have been awarded to your organization (backlog), will be subtracted from the amount determined in paragraph "b" above.

Any positive number resulting from paragraph "c" above would be the maximum City of Sausalito contract that can be awarded to the submitting organization.

Should your organization not qualify on the basis of the above calculation, the City of Sausalito may consider other alternative information you can provide that, in its sole judgment, indicates clearly your ability to meet the financial requirements of the anticipated City of Sausalito contract. This information must include the required data described below, and sufficient supplemental analysis and description as needed to clearly present your position. This information must be submitted with your AFP. It is your responsibility to make the above-described calculation and determine if additional information will be required to demonstrate your ability to perform the project.

Information you must submit includes:

Full set of financial statements for your most recent three (3) complete fiscal years, accompanied by either an audit or review report by an independent Certified Public Accountant. A sample accountant's certificate is included in the attachments to this AFP. ***Consolidated or internally-prepared financial statements will not be accepted.*** Statements, which are older than six (6) months, must be supplemented by an internal financial statement, which updates the information to no more than six (6) months from the date of submission of the AFP. Such statements must be prepared in accordance with generally accepted accounting principles, including all required information disclosures.

Letter from a financial institution in support of available lines of credit or other facilities, if you wish them to be considered in prequalification. See attached "General Statement of Bank Credit" for sample language.

Schedule indicating contracts, which have been awarded to you, and reconciling the original award, any amendments, completed portion and uncompleted portion of such contracts. This is your backlog of work awarded but not yet complete.

Surety and Bonding Requirements

Attach a notarized statement from the bonding company your firm proposes to use indicating their commitment to provide a Performance and Payment Bond for the full amount of the contract.

List the names of the Bonding firms utilized by your organization in the last five (5) years, for projects over \$100,000.

Name of Bonding Company No. 1: _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Project Name: _____ Amount Bonded: _____ %
Year Completed _____

Project Name: _____ Amount Bonded: _____ %
Year Completed _____

Project Name: _____ Amount Bonded: _____ %
Year Completed _____

Name of Bonding Company No. 2: _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Project Name: _____ Amount Bonded: _____ %
Year Completed _____

Project Name: _____ Amount Bonded: _____ %
Year Completed _____

Project Name: _____ Amount Bonded: _____ %
Year Completed _____

Name of Bonding Company No. 3: _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Project Name: _____ Amount Bonded: _____ %
Year Completed _____

Project Name: _____ Amount Bonded: _____ %
Year Completed _____

Project Name: _____ Amount Bonded: _____ %
Year Completed _____

Insurance Requirements

Each policy of insurance carried by the successful bidder for this project shall be issued by an insurance company licensed to do business in the State of California with a rating of "A" or better and a financial size category of "V" or better according to the latest edition of "Bests".

Attach a notarized statement from the Worker's Compensation carrier specifying organization's current Experience Modification rating for Worker's Compensation in the State of California.

List the names of the insurance firms utilized by your organization in the last five (5) years, for projects over \$100,000.

Name of Insurance Company No. 1: _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Rating: _____

Name of Insurance Company No. 2: _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Rating: _____

Name of Insurance Company No. 3: _____

Address: _____

Contact Name: _____ Telephone: _____ Fax: _____

Rating: _____

The following documents are to be filed with the City of Sausalito by the Organization requesting Prequalification, in accordance with the Public Contract Code, for the aforementioned project.

Failure to provide all these attachments will be cause for disqualification for this project.

1. Certificate of Accountant and Financial Statements
2. General Statement of Bank Credit
3. Notarized Statement from Bonding Company
4. Notarized Statement from Worker's Compensation Insurance Carrier
5. Current Copy of Organization's California Contractor's License(s)
6. Certification declaring that the applying Organization has not has a surety company finish work on any project within the last five (5) years.
7. Certification declaring that the applying Organization, in the last five (5) years has not been found by a judge, arbitrator, jury, or a *nolo contendere* plea to have submitted a false or fraudulent claim to a public agency
8. Certification declaring that the applying Organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or a safety regulation, pursuant to Public Contract Code section 10162