



Request for Prequalification Submittals from Design-Build Entities

for the

County of Alameda

Santa Rita Jail Boiler Upgrade

(Project No. 17028)

and

Juvenile Justice Center Boiler Upgrade

(Project No. 18012)

and

Glenn Dyer Detention Facility Boiler Upgrade

(Project No. 17033)

March 23, 2018

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NOTICE OF PREQUALIFICATION REQUIREMENT AND COMPETITIVE SELECTION PROCESS

In accordance with its **Notice of Request for Prequalification Submittals from Design-Build Entities**, the County of Alameda ("County") hereby gives notice that it intends to request competitive proposals for Design-Build services for the Santa Rita Jail, Glenn Dyer Detention Facility, and Juvenile Justice Center Boiler Upgrade Projects ("Project"), and that the County has determined that Design-Build Entities must be prequalified prior to submitting a proposal for any one of the three (3) Projects included herein. **Qualifications submittal must be received no later than: 2:00 pm (PST) on Monday, May 7, 2018.**

NOTE: OWNER RESERVES THE RIGHT TO REVISE SCOPE AND IS SUBJECT TO CHANGE DURING AT REQUEST FOR PROPOSAL PHASE. THERE WILL THREE (3) REQUEST FOR PROPOSALS ISSUED AT THE PROPOSAL PHASE.

GENERAL DESCRIPTION OF THE PROJECTS

SANTA RITA JAIL BOILER UPGRADE, PROJECT NO. 17028

The Santa Rita Jail (SRJ) is a County-owned building at 5325 Broder Boulevard, Dublin. The SRJ is a 1 million square-foot, two-story building that was built around 1989. The jail is a critical facility that houses 3,500 inmates.

There is a main heating loop that serves the entire site that is split to serve an east and west loop. The hot water heating system was converted to a primary only in 2006. In order to meet Bay Area Air Quality Regulation 9, Rule 7, the existing service building boiler plant will be replaced with more heating capacity. The existing service building AERCO plant is undersized and unable to meet the heating loads of the site.

The kitchen service boilers serve three (3) steam kettles in the kitchen. The existing eight (8) high pressure steam boilers have reached the end of their useful life and require replacement. Due to the critical function of the jail, the new boilers will be installed in a room adjacent to the existing plant to minimize the time to cut-over to the new system. Design-Builder will be required to minimize kitchen operation downtime which will require weekend or afterhours work.

The project includes all the necessary planning, construction, engineering, and all other design services of any type, procurement, permitting, labor, materials and equipment, start-up and testing, commissioning, utility service upgrades, energy management controls, necessary to install a facility integrated boiler plant:

NOTE: THIS PROJECT INCLUDES THE SERVICE BUILDING MAIN HEATING PLANT AND THE KITCHEN SERVICE STEAM PLANT AS ONE PROJECT**Service Building Hot Water Heating Plant**

Replace four (4) 3,000 kBtu boilers, including upgrades for natural gas, water supply, and any other utilities required by the Project with five (5) new Lochinvar (Model 5000) with Cupro-Nickel heat exchangers. All primary pumps are interlocked with the boiler's fan controls for proper operation.

A brief summary of work is provided below, but it is not limited to:

- Remove and hand-over to the County four (4) Aerco 3.0 (3,000 kBtu) hot water heating boilers and two (2) tube and shell heat exchangers
- Mobilization of new and demoed equipment
- Mechanical, electrical, plumbing, controls, and structural design and installation required to install new boilers and associated piping. Boilers communication protocol shall be native BACnet
- Demolition of all hot water heating piping, heat exchangers, valves, and ancillary equipment not used by the new design.
- Integrate and control of domestic tempered water system
- Furnish and install five (5) new Lochinvar (Model 5000) with Cupro-Nickel heat exchangers and associated controls
- Furnish and install new non-electric water softener
- Furnish and install new chemical water treatment system
- Furnish and install new make-up water flow meter (in-line)
- Furnish and install new insertion type water flow meters at each boiler
- Furnish and install four (4) insertion type water flow meters in west and east hot water main heating loops – supply and return
- Furnish and install new softener blow-down water flow meter
- Furnish and install four (4) insertion type water flow meters in west and east domestic temperature water loops – supply and return
- Integration of all systems, valves, sensors, controllers, and water and gas meters installed or replaced into building energy management systems
- Integrate main heating hot water loop automated isolation control valves
- Furnish and install new manual and automated isolation valves for each boiler
- Design and installation of new flue stack including roofing modifications/repair
- Furnish and install new flue stack gas temperature sensors for each boiler
- May include design and installation of new or extended boiler housekeeping pad
- Furnish and install new non-resettable gas meter (per boiler) and network to EMCS
- Design and installation of new heating hot water pumps (if required by new plant)

Kitchen Service Steam Plant

Replace eight 9.5 BHP Cal Special Boilers, including upgrades for natural gas, water supply, and any other utilities required by the Project with two (2) 100BHP Superior Iroquois boilers 26psi operating steam pressure design, outfitted with Webster Ultra low NOX burners 15PPM

A brief summary of work is provided below, but it is not limited to:

- Remove and dispose of existing high-pressure steam plant
- Mechanical, electrical, plumbing, controls, and structural design and installation required to install new boilers and associated piping in the room adjacent to the existing steam plant. Boilers communication protocol shall be BACnet and BTL certified.
- Evaluation of existing steam piping to confirm re-use
- Utility service upgrades required by the Project
- Furnish and install new steam traps
- Demolition of eight (8) steam boilers, steam piping, heat exchangers, valves, and ancillary equipment not used by the new design.
- Furnish and install two (2) 100BHP Superior Iroquois boilers 26psi operating steam pressure design, outfitted with Webster Ultra low NOX burners 15PPM in the adjacent room.
- Furnish and install one (1) Siemens LMV 51 Lead/Lag Master Panel
- Furnish and install one (1) 100-Gallon Superior Atmospheric Condensate/Feedwater Duplex System
- Furnish and install one (1) Superior Blowdown Separator Package with After cooler
- Furnish and install pump controls and modulating feedwater valves for the boilers
- Furnish and install new chemical water treatment system
- Furnish and install new make-up water flow meter
- Furnish and install new softener blow-down water flow meter
- Furnish and install new steam pressure sensors
- Integrate all work into the building energy management control system (EMCS)
- Integration of all systems, valves, sensors, controllers, and water and gas meters installed or replaced into building energy management systems
- Furnish and install new manual and automated isolation valves for each boiler
- Design and installation of new flue stack including roofing modifications/repair
- Furnish and install new flue stack gas temperature sensors for each boiler
- Design and installation of new boiler housekeeping pads
- Install new door pathway to connect the old steam plant room to the adjacent space
- Furnish and install new non-resettable gas meter (per boiler) and network to EMCS
- Furnish and install bypass piping to relief or atmosphere to roof steam muffler with condensate return line to facilitate commissioning and testing

Design-Build opportunities include design and construction of all building and mechanical systems, which will be governed by a set of Performance Specifications integral to the Request for Proposals. These systems include, but are not limited to:

HVAC Systems
Plumbing Systems
Electrical Systems
Fire Protection Systems
Instrumentation Systems

The estimated Project construction cost is approximately \$ 2,900,000.

Juvenile Detention Facility Boiler Upgrade, Project No. 18012

The Juvenile Justice Center (JCC) is a County-owned building at 2500 Fairmont Dr, San Leandro. The SRJ is a 390,000 square-foot, two-story building that was built around 2009. The center is a critical facility that houses 358 minors.

The central plant consists of two (2) 8,000 kBtu hot water heating boilers that serve the entire site. The hot water heating distribution system is primary only. The existing boilers have reached the end of their useful life and require replacement. In order to meet Bay Area Air Quality Regulation 9, Rule 7, the existing service building boiler plant will be replaced with more heating capacity.

This project includes all the necessary planning, construction, engineering, and all other design services of any type, procurement, permitting, labor, materials and equipment, start-up and testing, commissioning, utility service upgrades, energy management controls, necessary to install a facility integrated boiler plant. Design-Builder will be required to minimize operational downtime which will require weekend or afterhours work.

Design-Build include the design and construction of all building and mechanical systems, which will be governed by a set of Performance Specifications integral to this RFQ. The basis of the design will be two (2) new Lochinvar (Model 5000) with Cupro-Nickel heat exchangers. All primary pumps are interlocked with the boiler's fan controls for proper operation. A brief summary of work is provided below, but it is not limited to:

- Remove and disposed of one (1) Bryan RV800-W-FDGO boiler
- Mechanical, electrical, plumbing, controls, and structural design and installation required to install new boilers and associated piping. Boilers communication protocol shall be native BACnet.
- Utility service upgrades required by the Project
- Demolition of all hot water heating piping, heat exchangers, valves, and ancillary equipment not used by the new design

- Furnish and install two (2) new Lochinvar (Model 5000) with Cupro-Nickel heat exchangers and associated controls
- Furnish and install new non-electric water softener
- Furnish and install new chemical water treatment system
- Furnish and install new make-up water flow meter
- Furnish and install new main loop water flow meter – supply and return
- Furnish and install new softener blow-down water flow meter
- Furnish and install insertion type water flow meters for the Courts/Support/Laundry/Kitchen tempered water main lines - supply and return
- Furnish and install temperature sensors for the Courts/Support/Laundry/Kitchen tempered water main lines - supply and return
- Furnish and install temperature sensors for each boiler supply and return
- Furnish and install temperature sensors in main heating loop – supply and return
- Integrate all work into the building energy management control system (EMCS)
- Integration of all systems, valves, sensors, controllers, and water and gas meters installed or replaced into building energy management systems
- Furnish and install new manual and automated isolation valves for each boiler
- Design and installation of new flue stack including roofing modifications/repair
- Furnish and install new flue stack gas temperature sensors for each boiler
- Furnish and install new non-resettable gas meter (per boiler) and network to EMCS
- Design and installation of new heating hot water pumps (if required by new plant)
- Furnish and install two (2) Intellihot On-Demand iQ1501s to serve the Laundry/Kitchen tempered water
- Furnish and install two (2) Intellihot On-Demand iQ1501s to serve the Courts/Support tempered water

HVAC Systems

Plumbing Systems

Electrical Systems

Fire Protection Systems

Instrumentation Systems

The estimated Project construction cost is approximately \$1,175,000

Glenn Dyer Detention Facility Boiler Upgrade Project No. 17033

The Glenn Dyer Detention Facility (GDDF) is a County-owned building located at 550 6th St, Oakland. GDDF is a 250,000 square-foot, seventeen-story building that was built around 1977. The jail is a critical facility that houses approximately 800 inmates.

The main heating plant is located in the basement of the Wiley W. Courthouse located at 661 Washington Street, Oakland. The plant serves both the Courthouse and GDDF. The existing boilers have reached the end of their useful life and require replacement.

The project includes all the necessary planning, construction, engineering, and all other design services of any type, procurement, permitting, labor, materials and equipment, start-up and testing, commissioning, utility service upgrades, energy management controls, necessary to facility facility integrated boiler plant. Due to the critical function of the jail, the new boilers will be installed in phases while the main plant is in operation. Design-Builder will be required to minimize operational downtime which will require weekend or afterhours work.

Design-Build opportunities include design and construction of all building and mechanical systems, which will be governed by a set of Performance Specifications integral to this RFQ. The basis of the design will be the three (3) 6,500 kBtu Superior Iroquois boilers outfitted with Webster Ultra low NOX 15PPM burners, or equal. A brief summary of work is provided below, but it is not limited to:

- Mechanical, electrical, plumbing, controls, and structural design and installation required to install new boilers and associated piping. The Boilers' communication protocol shall be native BACnet and BTL certified
- Demolition of all hot water heating piping, heat exchangers, valves, and ancillary equipment not used by the new design
- Integration and control of domestic tempered water system
- Furnish and install three (3) 6,500 kBtu Superior Iroquois boilers outfitted with Webster Ultra low NOX 15PPM burners, or equal.
- Furnish and install insertion type water flow meters in domestic temperature water systems
- Furnish and install insertion type water flow meters for each boiler
- Furnish and install insertion type water flow meters in main loop supply and return for both the GDDF and the Courthouse
- Furnish and install supply and return temperature sensors for each boiler
- Furnish and install supply and return temperature sensors in GDDF and Courthouse heating loops
- Integrate all work into the building energy management control system (EMCS)
- Furnish and install new manual and automated isolation valves for each boiler. Automated isolation valves are to be interlocked with the internal boiler controls.
- Design and installation of new flue stack including roofing modifications/repair
- Furnish and install new flue stack gas temperature sensors for each boiler
- Furnish and install new non-resettable gas meter (per boiler) and network to EMCS
- Furnish and install a mechanical draft system
- All modifications required to the flue for proper boiler operation
- Installation of a temporary flue may be required
- Utility service upgrades were required by the Project

HVAC Systems
Plumbing Systems
Electrical Systems
Fire Protection Systems
Instrumentation Systems

The estimated Project construction cost is approximately \$1,750,000

COMPETITIVE SELECTION PROCESS

In accordance with Public Contract Code section 22164, the County will select a Design-Build Entity (the “D-B” Entity”) to construct the Projects through a public, two-step competitive selection process:

Step 1: Prequalification Phase of responsible and qualified D-B Entities:

THERE ARE THREE (3) MANDATORY SITE VISITS ALL SCHEDULED ON THE SAME DAY STARTING AT SANTA RITA JAIL AT 7:00 A.M. THE MANDATORY PRE-SUBMITTAL CONFERENCE DATES AND TIME ARE AS FOLLOWS:

1st Mandatory Pre-Submittal Conference: Tuesday, April 10, 2018, 7:00 A.M, Santa Rita Jail, 5325 Broder Boulevard, Dublin, CA 94568. Meeting will be held in the Media Room in the main lobby of the jail. All attendees will meet in the main lobby prior to being escorted to the media room. Google maps link:

<https://www.google.com/maps/place/Alameda+County+Santa+Rita+Jail/@37.7176853,-121.8901549,17z/data=!3m1!4b1!4m5!3m4!1s0x808fee3a3fe4c357:0x212cffd4c146b8f!8m2!3d37.7176811!4d-121.8879609>

2nd Mandatory Pre-Submittal Conference: Tuesday, April 10, 2018, 10:30 A.M, Juvenile Justice Center, 2500 Fairmont Dr, San Leandro, CA 94578. Meeting will be held in the boiler room main plant. All attendees will meet in the main lobby prior to being escorted to the boiler room. Google Map link:

<https://www.google.com/maps/place/Juvenile+Justice+Center/@37.7158933,-122.1182749,15z/data=!4m2!1m6!3m5!1s0x0:0x75151d43e6966e9c!2sJuvenile+Justice+Center!8m2!3d37.7158933!4d-122.1182749!3m4!1s0x0:0x75151d43e6966e9c!8m2!3d37.7158933!4d-122.1182749>

3rd Mandatory Pre-Submittal Conference: Tuesday, April 10, 2018, 2:30 P.M, Glenn Dyer Detention Facility, 661 Washington St, Oakland, CA 94607. Meeting will be held in a meeting room. All attendees will meet in the lobby of the Wiley Manual Courthouse prior to being escorted to the meeting and boiler plant room. All attendees will be required to pass through a security screening process prior to entering the Courthouse.

<https://www.google.com/maps/dir/'/Wiley+W.+Manuel+Courthouse,+661+Washington+St,+Oakland,+CA+94607/@37.7997242,-122.3459769,12z/data=!4m8!4m7!1m0!1m5!1m1!1s0x808f80b77b74b803:0xfa1b97371b400eeb!2m2!1d-122.2759369!2d37.7997449>

Non-Mandatory Networking/Proposers Conference: Wednesday, April 11, 2018, 10:00 AM – 11:00 AM at Alameda County Offices, 1401 Lakeside Drive Suite 1107, Alameda, CA 94612

NOTE: D-B Entities are required to attend the Mandatory Pre-Submittal Conferences on April 10, 2018 for each project to qualify for the proposal phase for any one project.

Step 2: Proposal Phase during which the County will consider proposals submitted by prequalified D-B Entities.

Only the THREE (3) highest ranked D-B Entities that are successfully qualified in Step 1 will be short-listed and allowed to participate in Step 2. The County intends to award each contract on a competitive “low-bid” basis.

OUTREACH REQUIREMENTS

Projects shall comply with the requirements of the County’s Enhanced Construction Outreach Program (“ECOP”) and Small Local Emerging Business (“SLEB”) program [refer to attachment Document 00 62 38 Enhanced Construction Outreach Program (ECOP)]. ECOP goals will be applied to the construction portion of any contract awarded and SLEB requirements will be applied to the engineering portion of any contract awarded. D-B Entities will be required to accept and acknowledge that they will meet the ECOP goals and SLEB requirements. **No preference points will be awarded under ECOP or SLEB.** The D-B Entity and all Sub-contractors will be required to use the County’s compliance system, Elation Systems, to enter prevailing wage information and confirm contract payments made and received.

The ECOP generally includes:

The requirement that contractors meet or show good faith efforts (“GFE”) to meet a contract goal of **60% to be awarded to Local Business Enterprises (“LBE”)** and **20% to certified Small local Business Enterprises (“SBE”)**, which may include participation of the D-B Entity, if eligible;

The requirement that contractors meet or show GFE to meet a subcontract goal of **15% Minority-owned Business Enterprise (“MBE”)** and **5% Women-owned Business Enterprise (“WBE”)** Sub-contractor participation;

For purposes of the ECOP, an SBE is as defined using the current State definition of a small business, which is a business that:

- Must be independently owned and operated;

- Cannot be dominant in its field of operation;

- Must have its principal office located in California;

- Must have its owners (or officers in the case of a corporation) domiciled in California; and

- Together with its affiliates, must be either:

- A business with 100 or fewer employees with \$14 million or less in average gross annual revenue over the past three years, or a manufacturer with 100 or fewer employees.

The County strongly encourages to proposers to contract with businesses that can demonstrate the ability and willingness to provide jobs required to complete County construction projects to local apprentices, youth, unemployed and under-employed County residents.

The SLEB Program:

Requires that contractors be a County of Alameda certified small or emerging business or subcontract a **minimum of 20% of the design services portion of the contract value** with certified small or emerging businesses;

Includes the First Source Program, which requires contractors awarded contracts in excess of \$100,000 to **provide 10 working days for the County to refer potential candidates** to be considered by the contractor to fill any new or vacant positions that are necessary to fulfill their contractual obligations during the term of the contract before advertising to the general public.

See website <http://www.acgov.org/auditor/sleb/index.htm> for more information about the SLEB Program.

PROJECT STABILIZATION/ COMMUNITY BENEFIT AGREEMENT (PS/CBA)

A Countywide PS/CBA (refer to Attachment - Document 00 73 49 PS/CBA and associated attachments and forms) incorporates workforce development opportunities for various disadvantaged populations. The key terms of the Countywide PS/CBA include the scope, local hiring, core worker and disadvantaged worker provisions. All capital construction projects

approved by the Board of Supervisors with a **construction value of \$1 million or greater** are covered under the PS/CBA. The PS/CBA requires **40% local hiring** on covered projects. It allows for contractors to use **up to five (5) core workers from their own workforce** on an alternating assignment basis, as long as these core workers reside within Alameda County. Contractors are required to hire disadvantaged workers as 1st and 2nd stage apprentices. The PS/CBA enables continuation of the existing SLEB and ECOP outreach programs.

GENERAL STATEMENT OF PREQUALIFICATION CRITERIA AND PRIORITIES

The County is particularly interested in Design-Build Entities with the following qualifications:

Design-Build Mechanical Contractor or engineer with experience with projects similar in size, scope, type, complexity with experience with the design of similar public sector facilities.

PREQUALIFICATION REQUIREMENTS

It is mandatory that all D-B Entities that intend to seek prequalification fully complete the Prequalification Questionnaire, provide ALL materials requested, and be approved by the County to be on the final qualified Proposers list for the Project. **Only the top three (3) ranked Design-Build Entities that the County has prequalified in accordance with this Request for Prequalification Submittals from Design-Build Entities will be eligible to submit a Proposal.**

Prequalification Questionnaires that fail to clearly present 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 the County in determining proposer qualification and responsibility prior to submittal of proposals, the County reserves the right to utilize information from other sources in its prequalification assessment of D-B Entities. The County'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 the County 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 D-B contract.

DEFINITION OF WHAT COMPRISES A DESIGN-BUILD ENTITY

A D-B Entity is defined by Public Contract Code section 22161(d) as “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.”

For purposes of the Project prequalification, each D-B Entity must identify and provide information for the Mechanical Contractor and Engineer.

Pursuant to Public Contract Code section 22166(a), subsequent to the County’s selection of the D-B Entity, the services of other sub-contractors or sub-consultants who are not identified as core organizations, listed below, must be procured by the D-B in accordance with Public Contract Code section 22166(a), and all such Sub-contractors shall be afforded the protections of Public Contract Code sections 4100 et seq. The County reserves the right to specify additional requirements for Sub-contractors or sub-consultants not included in the Prequalification document, in the Request for Proposals for the Project.

A D-B Entity must complete the appropriate portions of the Prequalification Questionnaire for the required Core Organizations. Portions of the Questionnaire are specifically tailored to the general responsibility of the D-B Entity:

Mechanical Contractor:

I.C

II.B

III.A

IV.A

Engineer:

I.D

II.C

III.B

IV.B

PROVISIONS OF THE PUBLIC CONTRACT CODE RELATED TO PREQUALIFICATION

The County intends to request competitive proposals for Design-Build services to construct the Project pursuant to California Public Contract Code section 22162, which authorizes the design-build method of procurement for county public construction projects in excess of \$1 million. This Prequalification Document establishes the standardized prequalification procedure required by Public Contract Code section 22164(b)(3).

In order to fulfill the requirements of that subsection, the County has referenced the prequalification process described in Public Contract Code section 20101 and has based the Prequalification Questionnaire on various model prequalification documents prepared pursuant to that section by the California Department of Industrial Relations. Accordingly, the prequalification procedure

described herein: (1) provides a standardized Prequalification Questionnaire and (2) adopts and applies a uniform system for rating Design-Build Entities on objective criteria.

The County will keep all such information confidential to the extent permitted by federal and state law. However, the County reserves the right to disclose submitted prequalification information selectively to third parties for purpose of verification or investigation of substantial allegations.

RIGHTS RESERVED BY COUNTY OF ALAMEDA

The County may deny prequalification where the requested information and materials are not provided, or not provided by the date specified below. There is no appeal from a denial due to a materially incomplete or late application.

The County reserves the right to accept prequalification applications despite minor irregularities and omissions in the information that would otherwise serve to disqualify a D-B Entity. The County 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.

The County 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.

The County may require D-B Entities that will be using Sub-Contractors or Sub-Consultants who are not Core Organizations identified during prequalification to: (1) submit the qualifications of certain Sub-Contractors or Sub-Consultants as specified in this Prequalification Questionnaire Document, and (2) participate in post-proposal qualification review. Compliance with such requirements, if any, will follow acceptance of a proposal, but will occur before an award is made.

The County reserves the right to modify, suspend, or cancel this Project, including the Prequalification (Step 1) 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.

REVIEW AND NOTIFICATION PROCESS

The completed Prequalification Questionnaire with required attachments must be submitted by the deadline specified below. Once received, the review and notification process will be as follows:

1. **Receipt**: The original Prequalification Questionnaire with required attachments will be stamped upon receipt with an official date and time of receipt.
2. **Completeness Review**: Each prequalification submission will be reviewed for completeness by County staff **within FIVE (5) business days from the submission deadline date**. The D-B Entity

will then be notified as to completeness (by telephone, facsimile, or electronic mail, at the County's discretion). If the prequalification submission is not complete, the D-B Entity will have **three (3) business days from such notification** to add whatever information is needed to make its prequalification submission complete, and the time limits for Staff Review and Qualification Notification shall be adjusted accordingly. If the prequalification submission is complete, it will proceed to Staff Review.

3. **Staff Review:** Each complete Prequalification Questionnaire with all required attachments will be reviewed by County staff **within TEN (10) business days from the submission deadline date.**

4. **Qualification Notification:** Each D-B Entity will be notified of its qualification rating by certified mail or e-mail **within Twelve (12) business days from the submission deadline date.**

5. **Sub-Consultant/Sub-Contractor Substitutions:** If notified that a proposed Sub-Consultant or Sub-Contractor has been disqualified, an otherwise qualified D-B Entity must submit all relevant information requested in this Prequalification Questionnaire for a proposed substitute Sub-Consultant/Sub-Contractor **within ten (10) business days of receiving such qualification notification**, and the time limits for Staff Review and Qualification Notification shall be adjusted accordingly. Failure to propose a qualified substitute Sub-Consultant/Sub-Contractor will result in an otherwise qualified D-B Entity being rated as "Non-Qualified" for this project.

If the D-B Entity is rated as "Qualified" for the Project, it will be eligible to submit a proposal for the Project and will be notified of the opportunity to submit when the Request for Proposal documents are issued. There will be

PREQUALIFICATION POINT OF CONTACT AND ANTICIPATED SCHEDULE

Any questions regarding the Projects and the prequalification process should be directed in writing to:

SRJ Boiler Upgrade Project No. 17028

Chetan Kaushal, Energy Project Manager
County of Alameda, General Service Agency
1401 Lakeside Drive, Suite 1112
Oakland, CA 94612
Telephone: 510.208.9652
Email: chetan.kaushal@acgov.org
Fax: 510.208.3995

JJC Boiler Upgrade Project No. 17030

Chetan Kaushal, Energy Project Manager
County of Alameda, General Service Agency
1401 Lakeside Drive, Suite 1112
Oakland, CA 94612
Telephone: 510.208.9652
Email: chetan.kaushal@acgov.org
Fax: 510.208.3995

GDDF Boiler Upgrade Project No. 18012

Seri Traver, Energy Project Manager
County of Alameda, General Service Agency
1401 Lakeside Drive, Suite 1111
Oakland, CA 94612
Telephone: 510.208.9648
Email: seri.traver@acgov.org
Fax: 510.208.3995

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

<u>Action</u>	<u>Date</u>
Mandatory Pre-Submittal Conference (THREE TOTAL)	April 10, 2018
Non-Mandatory Networking/Proposers Conference	April 11, 2018
Written Questions Due at 5:00 PM PDT	April 23, 2018
Qualifications Submission Date – not later than 2:00 P.M. PDT	May 7, 2018

D-B Entities are required to attend the mandatory Pre-Submittal Conference.

PLEASE BE ADVISED THAT THE COUNTY WILL NOT RESPOND TO WRITTEN QUESTIONS RECEIVED AFTER 5:00 PM PACIFIC DAYLIGHT TIME (PDT) ON APRIL 23, 2018.

The County 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.

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.

PART I: INFORMATION ABOUT THE D-B ENTITY

Part I applies to the D-B Entity as a whole and is for identification purposes only. There is no scoring value to this part.

Subpart I.A is the only public record portion of the Project Prequalification Questionnaire. There is no scoring value to this portion of the questionnaire.

PART II: ESSENTIAL REQUIREMENTS FOR THE D-B ENTITY AS A WHOLE

Part II applies to the D-B Entity as a whole and consists of a series of pass/fail qualification questions. All questions must be answered correctly or the D-B Entity may be disqualified with no consideration given to the remainder of the Questionnaire.

PART III: SCORED QUESTIONS FOR INDIVIDUAL MEMBERS OF THE D-B ENTITY

Parts III and IV include minimum scores that must be attained for the Mechanical Contractor and Engineer. Scores at or above the minimums will be combined with the scores of the other parts of the Prequalification Questionnaire to determine the Total Score for the D-B Entity.

- A. A minimum score of 59 must be attained for the Mechanical Contractor, or the Mechanical Contractor will be rated as not-qualified, and the D-B Entity will not be prequalified.
- B. A minimum score of 27 must be attained for the Engineer, or the Engineer will be rated as not-qualified, and the D-B Entity will not be prequalified.

Subpart III.A: Scored Questions for the Mechanical Contractor

Subpart III.A applies to the Mechanical Contractor. It consists of a series of questions that must be answered, each of which has an established numerical score for potential answers (as shown in the sample Scoring Worksheet provided herein). The total score attained establishes the rating for the D-B Entity's Mechanical Contractor. There is a maximum possible score of 80, with a Minimum required total score of 59.

Subpart III.B: Scored Questions for the Engineer

Subpart III.B applies to the Engineer. It consists of a series of questions that must be answered, each of which has an established numerical score for potential answers (as shown in the sample Scoring

Worksheet provided herein). The total score attained establishes the rating for the D-B Entity's Engineer. There is a maximum possible score of 37, with a Minimum required total score of 27.

PART IV: RECENT CONSTRUCTION PROJECTS COMPLETED

In order to help the County assess the extent to which the D-B Entity has the experience, competency, capability, and capacity to complete a project similar in size, building type, and complexity of the Project, Part IV requires the D-B Entity to submit information on recently-completed projects that are of similar size, building type, and complexity. The County will have sole discretion to determine which projects are similar to the Project. Scores at or above the minimums will be combined with the scores of the other parts of the Prequalification Questionnaire to determine the Total Score for the D-B Entity.

Subpart IV.A: D-B ENTITY AND MECHANICAL CONTRACTOR EXPERIENCE

Subpart IV.A applies to the Mechanical Contractor. It consists of information the Mechanical Contractor is to provide and has a numerical score for responses (as shown in the sample Scoring Worksheet provided herein). The total score attained establishes the rating for the D-B Entity's Mechanical Contractor. There is a maximum possible score of 40, with a Minimum required total score of 22.

Subpart IV.B: ENGINEER EXPERIENCE

Subpart IV.B applies to the Engineer. It consists of information the Engineer is to provide, and has an established numerical score for responses (as shown in the sample Scoring Worksheet provided herein). The total score attained establishes the rating for the D-B Entity's Engineer. There is a maximum possible score of 20, with a Minimum required total score of 12.

PART V: KEY PERSONNEL

In order to help the County assess to what extent D-B Entity personnel have sufficient experience and training to competently manage and complete the design and construction of the Project, Part V requires the D-B Entity to submit information regarding individuals who will perform key roles in the Project.

Part V consists of a series of questions that must be answered by the Mechanical Contractor and Engineer. A score at or above the minimum will be combined with the scores of the other parts of the Prequalification Questionnaire to determine the Total Score for the D-B Entity.

There is a maximum possible score of 33. A Minimum required total score of 20 must be attained or the Design-Build Entity will be rated as not-qualified. A score at or above the minimum will be combined with the scores of the other parts of the Prequalification Questionnaire to determine the Total Score for the D-B Entity.

PART VI: VERIFICATION

Part VI 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. The County will not review Prequalification Questionnaires that are not properly verified.

Instructions for Prequalification Submission

INSTRUCTIONS FOR PREQUALIFICATION SUBMISSION

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

If any information provided by a D-B Entity becomes inaccurate, the D-B Entity must immediately notify the County 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 space provided 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 (by name and project number), (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(s): _____

Project Number(s): _____

Due Date and Time: **May 7, 2018 @ 2:00 PM Pacific Daylight Time (PDT)**

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

A complete, timely submission must include:

- **1 fully-completed, verified Prequalification Questionnaire bound together as described above with ALL required documents,**
- **1 bound, printed hard-copies of the same, and**
- **1 electronic, scanned copy of the same in pdf format on a compact disc.**

Prequalification Questionnaires must be received at: General Service Agency, Purchasing Department, 1401 Lakeside Drive, Suite 800, Oakland, CA 94612. Attention: Seri Traver, Energy Project Manager.

No Later Than: 2:00 pm (PDT) on May 7, 2018.

Proposers 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 the County determines that it is in its best interest to reopen the prequalification process. **IF HAND DELIVERING SUBMITTALS ALLOW TIME FOR METERED STREET PARKING OR PARKING IN AREA PUBLIC PARKING LOTS AND ENTRY INTO A SECURE BUILDING.** 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. The GSA-Purchasing Division's timestamp shall be considered the official timepiece for the purpose of establishing the actual receipt of submissions.

Pre-Qualification Questionnaire

PREQUALIFICATION QUESTIONNAIRE

County of Alameda

PART I: INFORMATION ABOUT THE DESIGN-BUILD ENTITY AND ITS MEMBERS

IA CONTACT INFORMATION

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)		
Discipline	Name & Address	License
Mechanical Contractor		
Engineer		

PUBLIC RECORD

I.B INFORMATION ABOUT THE D-B ENTITY

Entity Name: _____
Contact: Person: _____
Address: _____
Phone: _____ Fax: _____
Email Address: _____

Type of Entity (check one):

☐ Corporation ☐ Partnership ☐ Sole Prop. ☐ Joint Venture ☐ Other Association

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

- e. 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			

- f. If the entity is a **sole proprietorship**, please provide the name and social security number of the company owner:

Name	Social Security No.

- g. 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

- h. For each person listed in table 1d, 1e, 1f, or 1g, 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:

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

2. 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:

3. 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:

4. 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:

5. State the D-B Entity’s gross revenues for each of the last three years years:

2014: _____ **2015:** _____ **2016:** _____

6. Based on the financial statement required in Part II.A, provide the following information about the D-B Entity:

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

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 MECHANICAL CONTRACTOR

Entity Name: _____
Contact: Person: _____
Address: _____
Phone: _____ Fax: _____
Email Address: _____

Type of Entity (check one):

☐ Corporation ☐ Partnership ☐ Sole Prop. ☐ Joint Venture ☐ Other Association

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

- e. 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			

- f. If the entity is a **sole proprietorship**, please provide the name and social security number of the company owner:

Name	Social Security No.

- g. 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

- h. For each person listed in table 1d, 1e, 1f, or 1g, 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:

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.

[illegible]

2. Has there been any change in ownership of the Mechanical Contractor 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:

3. Is the Mechanical 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:

4. Are any of the Mechanical 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:

5. State the Mechanical Contractor’s gross revenues for each of the last three years:

2014: _____ **2015:** _____ **2016:** _____

6. Based on the financial statement required in Part II.B, provide the following information about the Mechanical Contractor:

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

7. List all license numbers, classifications and expiration dates of the California contractor licenses held by the Mechanical Contractor. Mechanical Contractor must have a C-4 or C36 License issued by the State of California:

☐ Yes ☐ No

Contractor License Number	Classification(s)	Expiration Date

8. If any of the Mechanical 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 Mechanical 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 Mechanical 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 Mechanical Contractor’s surety identifying the following:

Bonding Co./Surety:		Surety Agent:	
Agent Address:		Telephone #:	

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

Date	Surety	Address

I.D INFORMATION ABOUT THE ENGINEER

Entity Name: _____
Contact: Person: _____
Address: _____
Phone: _____ Fax: _____
Email Address: _____

Type of Entity (check one):

☐ Corporation ☐ Partnership ☐ Sole Prop. ☐ Joint Venture ☐ Other Association

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

- e. 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			

- f. If the entity is a **sole proprietorship**, please provide the name and social security number of the company owner:

Name	Social Security No.

- g. 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

- h. For each person listed in table 1d, 1e, 1f, or 1g, identify every design firm that the person has been associated with (as owner, general partner, limited partner, or officer) at any time during the last five (5) years:

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

2. Has there been any change in ownership of the Engineer 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:

3. Is the Engineer 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:

4. Are any of the Engineer'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:

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

2014: _____ **2015:** _____ **2016:** _____

6. Based on the financial statement required in Part II.C, provide the following information about the Engineer:

Current Assets:	\$ _____
Current Liabilities:	\$ _____
Total Net Worth:	\$ _____
Current Asset/Liability Ratio:	\$ _____

Working Capital

(Current Assets – Current Liabilities) \$ _____

7. Has the Engineer 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 Engineer 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 Engineer whose stamp will appear on the Project documents) for the Project:

Name	License Number	Years Licensed

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

Name	License Number	Years -4d

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: The D-B Entity will be automatically disqualified if the answer to questions 1, 2, 3 or 4 is “No.”

1. Has the D-B Entity completed one public sector Design-Build project with a total contract value of \$1,000,000 or more in the last seven years?

☐ Yes ☐ No

For purposes of this section, the term “project” shall mean a project as defined in Public Contract Code section 22161(g)(1) as, “the construction of a building and improvements directly related to the construction of a building...,” and the terms “public sector” shall mean any work performed pursuant to a contract with a public or other governmental agency.

2. 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 and 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.

☐ Yes ☐ No

3. Has the D-B Entity 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**? At least **one** such statement for the D-B entity must be attached.

☐ 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.

4. Does the D-B Entity agree to participate in the County’s Enhanced Construction Outreach Program (ECOP) the Small, Local, & Emerging Business Program (SLEB) and the Project Stabilization/ Community Benefit Agreement (PS/CBA)?

☐ Yes ☐ No

NOTE: The D-B Entity will be automatically disqualified if the answer to any of questions 5 through 11 is “Yes.”

5. Has the D-B Entity ever defaulted on a construction contract?

☐ Yes ☐ No

6. 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 default terminated by the project owner?

☐ Yes ☐ No

7. 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 sub-contractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ Yes ☐ No

8. 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

9. Has the D-B Entity or any of its members, 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

10. Has the D-B Entity or any of its members, any of their owners or officers ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ Yes ☐ No

11. Has the D-B Entity or any of its members, 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 MECHANICAL CONTRACTOR

NOTE: The D-B Entity will be automatically disqualified if the answer to any of questions 12 through 16 is “No.”

12. Do the Mechanical Contractor and each proposed Sub-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 Mechanical Contractor must have a current and active California State Contractor’s license with a “C-4” Boiler, Hot Water Heating and Steam Fitting Contractor Contractor or a “C36” – Plumbing Contractor. All Core Sub-Contractors must possess a valid license appropriate for the work they will perform on the Project.

☐ Yes ☐ No

13. Does the Mechanical Contractor have a liability insurance policy with a policy limit of at least \$2,000,000 per occurrence and \$5,000,000 aggregate?

☐ Yes ☐ No

14. Does the Mechanical 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

15. Has the Mechanical Contractor attached a copy of it’s 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.

16. Has the Mechanical 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 Mechanical 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.

NOTE: The D-B Entity will be automatically disqualified if the answer to any of questions 17 through 23 is "Yes."

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

☐ Yes ☐ No

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

☐ Yes ☐ No

19. At the time of submitting this Prequalification Questionnaire, is the Mechanical Contractor ineligible to submit a proposal on or be awarded a public works contract, or perform as a sub-contractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ Yes ☐ No

20. At any time during the last five (5) years, has the Mechanical Contractor, 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

21. Has the Mechanical Contractor, 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

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

☐ Yes ☐ No

23. Has the Mechanical Contractor, 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

NOTE: The D-B Entity will be automatically disqualified if the answer to any of questions 24 through 27 is “No.”

24. Do all engineers possess valid and current professional licenses for the services for which they intend to provide on the Project?

☐ Yes ☐ No

25. Does the Engineer have a professional liability insurance policy with a policy limit of at least \$1,000,000 per claim and \$2,000,000 aggregate?

☐ Yes ☐ No

26. Does the Engineer 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.?

☐ Yes ☐ No

27. Has the Engineer 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.

NOTE: D-B Entity will be automatically disqualified if the answer to any of questions 28 through 32 is “Yes.”

28. Has any professional license, credential, or registration of any D-B Entity Engineer of Record or core sub-consultant been revoked or suspended at any time in the last five (5) years?

☐ Yes ☐ No

29. At any time during the last five (5) years, has the Engineer, or any owner or officer of either, been convicted of a crime involving the awarding of a contract for a government construction project, or performance of a government contract?

☐ Yes ☐ No

30. Has the Engineer 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

31. Has the Engineer, 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

32. Has the Engineer, 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

IIIA SCORED QUESTIONS FOR THE MECHANICAL 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.

Organizational Performance

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

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

Years: _____

2. Are the Mechanical 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:** _____

3. Were the Mechanical 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 3, 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 #:** _____

Licensing

4. In the past five years, have the Mechanical 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?

NOTE: If the Mechanical Contractor or 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 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).

Violation:				Project:	
Completion:		Owner:			
Explanation:					

Claims & Disputes

5. At any time in the last five years has the Mechanical Contractor or GC Associates been assessed and paid liquidated damages of more than \$50,000 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):

Owner:			Address:	
Completed:		Amount:		
Other:				

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.

6. Has the Mechanical Contractor or an Associated Firm, or any firm with which any of the Mechanical 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 Mechanical 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):.

Company:		Person:	
Year		Owner:	
Basis:			

7. In the last five years, has the Mechanical Contractor or an Associated Firm, or any firm with which any of the Mechanical 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 Mechanical 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):.

Company:		Person:	
Year:		Owner:	
Basis:			

8. Has the Mechanical Contractor or its GC Associates, or any firm with which any of the Mechanical 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):.

Year:		Owner:		Project:	
--------------	--	---------------	--	-----------------	--

Basis:

NOTE: The following two questions refer only to disputes between the Mechanical Contractor or its GC Associates and the owner of a project. You need not include information about disputes between the Mechanical Contractor and a supplier, another contractor, or sub-contractor. You need not include information about “pass-through” disputes in which the actual dispute is between a sub-contractor and a project owner.

9. In the past five years has any claim in excess of \$50,000 been made against the Mechanical 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 or contract amendment?

☐ 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:

Project:		Date:	
Claimant:		Court:	
Nature:			
Description:			

10. In the past five years has the Mechanical Contractor or its GC Associates made any claim in excess of \$50,000 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,” 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 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:

Project:		Date:	
Entity:		Defendant:	
Description:			

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

☐ Yes ☐ No

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

Year:		Carrier:		Form:	
Comments:					

12. Have the Mechanical Contractor or its GC Associates been required to pay a premium of more than one per cent (1%) for a performance and payment bond on any project(s) on which the Mechanical 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 per cent (1%), if you wish to do so (attach additional sheets as necessary):

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

Year:		Rate:	
Explanation:			

13. During the last five (5) years, have the Mechanical 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 Mechanical 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 Mechanical 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):

Date:		Surety:		Duration Period:	
Explanation:					

Regulatory Compliance

14. Has CAL OSHA cited and assessed penalties against the Mechanical 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 Mechanical 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):

Description:		Date:		Nature:	
Project:		Amount:			

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

NOTE: If the Mechanical 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):

Explanation:

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 Mechanical Contractor or its GC Associates, or the owner of a project on which the Mechanical Contractor was part of the D-B Entity, in the past five (5) years?

NOTE: If the Mechanical 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):

Explanation:

17. In the past five (5) years, have the Mechanical 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?

NOTE: If the Mechanical 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 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):

Violation:		Project:	
Completion:		Owner:	
Explanation:			

18. Have the Mechanical Contractor or its GC Associates been issued a California workers’ compensation insurance Experience Modification Rate (EMR) for each of the past five (5) premium years?

☐ Yes ☐ No

For each year during the past (5) years that your EMR was 1.00 or higher, provide an explanation (attach additional sheets as necessary):

Year:		Rate:	
Explanation:			

19. Within the last five (5) years, has there ever been a period when the Mechanical 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):

Time Period:		to	
Explanation:			

Prevailing Wage & Apprenticeship

20. Has there been more than one instance during the last five (5) years in which the Mechanical Contractor or its GC Associates were required to pay either back wages or penalties for the Mechanical Contractor's failure to comply with **California's** prevailing wage laws?

This question refers only to a violation of prevailing wage laws by the Mechanical Contractor or its GC Associates, not to violations of the prevailing wage laws by a sub-contractor or sub-consultant.

☐ 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):

Violation:		Project:	
Completion:		Agency:	
Employees:		Amount:	

21. During the last five (5) years, has there been more than one occasion in which the Mechanical Contractor or its GC Associates have 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):

Violation:		Project:	
Completion:		Agency:	
Employees:		Amount:	

22. Do the Mechanical Contractor or its GC Associates and each proposed Sub-Contractor 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

23. Do the Mechanical Contractor or its GC Associates intend to request the dispatch of apprentices from an apprenticeship program approved by the California Apprenticeship Council for use on the Project if its associated D-B Entity is awarded the contract?

☐ Yes ☐ No

If “yes,” provide the name, address and telephone number of the apprenticeship program from whom the Mechanical Contractor or its GC Associates intend to request the dispatch of apprentices.

Program Name	Address	Phone

24. Have the Mechanical Contractor or its GC Associates operated its own state-approved apprenticeship program during the last five (5) years?

☐ Yes ☐ No

If “yes,” state the year in which each such apprenticeship program was approved, identify the craft or crafts in which the Mechanical Contractor or its GC Associates provided apprenticeship training, and state the number of individuals who were employed by the Mechanical Contractor or its GC Associates as apprentices at any time during the past five (5) years in each apprenticeship program and the number of persons who, during the past five (5) years, completed apprenticeships in each craft while employed by your firm.

Year:		Rate:	
Crafts:			

25. At any time during the last five (5) years, have the Mechanical 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, 2008, if the violation was by a sub-contractor and the Mechanical Contractor or its GC Associates, as Mechanical Contractor on a project, had no knowledge of the sub-contractor’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 #

Safety & Quality Control

26. Do the Mechanical 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** ☐

27. Do the Mechanical 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

28. Do the Mechanical 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

29. Do the Mechanical Contractor and its GC Associates have a substance abuse testing program?

☐ Yes ☐ No

If “yes,” identify the testing included.

Pre-Hire ☐ **Random** ☐ **Probable Cause** ☐ **Post-Incident** ☐

30. Do the Mechanical Contractor and its GC Associates have a written Quality Assurance/Quality Control (“QA/QC”) program?

☐ Yes ☐ No

31. Do the Mechanical 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

III.B SCORED QUESTIONS FOR THE ENGINEER

Name of Engineer _____

“Engineer of Record” shall mean the Engineer whose stamp will appear on Project documents. “Engineer” shall mean the Engineer of Record whether it is the Mechanical Contractor, a separate engineering firm, or other firm.

Organizational Performance

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

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

Years: _____

2. Is the Engineer 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:** _____

3. Was the Engineer 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 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 #:** _____

Claims & Disputes

4. In the past ten (10) years has the Engineer operated without professional liability insurance?

☐ Yes ☐ No

If “yes,” explain on a separate sheet.

5. In the past five (5) years has any claim in excess of \$50,000 been made against the Engineer 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:

Project Name:		Date:	
Claimant:		Court:	
Nature:			
Description:			

6. In the past five (5) years has the Engineer made any claim in excess of \$50,000 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:

Project Name:		Date:	
Entity(s):		Court:	
Nature:			
Description:			

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?

☐ Yes ☐ No

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

Year:		Carrier:		Form:	
Comments:					

PART IV: RECENT CONSTRUCTION PROJECTS COMPLETED

IV.A D-B ENTITY AND MECHANICAL CONTRACTOR EXPERIENCE

The D-B Entity shall submit information describing projects completed in the past seven (7) years by the D-B Entity or its Mechanical Contractor that demonstrate that the D-B Entity and its Mechanical Contractor have the experience, competency, capability, and capacity to design and complete projects **similar in size, building 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's or Mechanical Contractor's office that will respond to the Request for Proposal will be considered for prequalification unless otherwise indicated below. For purposes of this section, the term "project" shall mean a project as defined in Public Contract Code section 22161(g)(1) as, "the construction of a building and improvements directly related to the construction of a building..." and the terms "public sector" shall mean any work performed pursuant to a contract with a public or other governmental agency.

1. How many public sector Design-Build projects with a total contract value of \$1 million or more has the Mechanical Contractor completed in the last seven years?

Number of public sector Design-Build projects \$1M+ _____

List the following information for the (up to five) most recent of these projects. ***For each project, provide information in the Comparable Project form at the end of this section.*** D-B Entities may be awarded up to two points per comparable project for up to a maximum of five projects.

Project Name/Year	Location	Construction Cost

2. How many projects with a total contract value of \$1 million or more have the Mechanical Contractor and Engineer on your proposed Design-Build team completed together in the last seven years?

Number of \$1 M+ projects with same Contractor/Engineer Team: _____

List the following information for the (up to five) most recent of these projects. ***For each project, provide all information requested on the Comparable Project form at the end of this section.*** D-B Entities may be awarded up to two points per comparable project for up to a maximum of five projects.

Project Name/Year	Location	Construction Cost
--------------------------	-----------------	--------------------------

3. How many public sector projects in California with a total contract value of \$1 million or more has the Mechanical Contractor completed in the last seven years?

Number of \$1M+ California public sector projects: _____

List the following information for the (up to five) most recent of these projects. ***For each project, provide information in the Comparable Project form at the end of this section.*** D-B Entities may be awarded up to two points per comparable project for up to a maximum of five projects.

Project Name/Year	Location	Construction Cost

4. How many Projects similar in size, building type, or complexity with a total contract value of \$1 million or more has the Mechanical Contractor completed in the last seven years?

Number of similar \$1M+ projects: _____

List the following information for the (up to five) most recent of these projects. ***For each project, provide information in the Comparable Project form at the end of this section.*** D-B Entities may be awarded up to two points per comparable project for up to a maximum of five projects.

Project Name/Year	Location	Construction Cost

PROJECT INFORMATION SHEET MECHANICAL CONTRACTOR

VERIFY ALL CONTACTS PRIOR TO SUBMITTAL. D-B Entities are advised that the County reserves the right to verify all Project information submitted below. It is the D-B Entity's responsibility to ensure contacts are available to County 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 **D-B Entity or Mechanical Contractor's** Office that Performed the Work:

_____ , _____ , _____
Street Address City & State Zip Code
Name of **D-B Entity or Mechanical Contractor's**
Project Manager for project: _____
Name of **D-B Entity or Mechanical Contractor's**
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 <input type="checkbox"/> No <input type="checkbox"/>
Type of Project:	Educational <input type="checkbox"/> Behavioral Health <input type="checkbox"/> Other: _____	<input type="checkbox"/>
Type of Owner:	Public <input type="checkbox"/> Private <input type="checkbox"/> Other: _____	<input type="checkbox"/>
What was the building area of the project (square footage)?		_____SF
Was the project built in California?		Yes <input type="checkbox"/> No <input type="checkbox"/>
Project Description: <i>(Provide a brief description including project photo)</i>		

IV.B ENGINEER EXPERIENCE

Name of Engineer: _____

The Engineer shall submit projects completed in the past seven (7) years that demonstrate that the Engineer has the experience, competency, capability, and capacity to design and complete, projects similar in **size, building type, or complexity to the Project**; a single project may fulfill more than one required experience criterion.

Only information, experience and work performed by the Engineers' office participating in the Design-Build Entity will be considered for prequalification unless otherwise indicated below. For purposes of this section, the term "project" shall mean a project as defined in Public Contract Code section 22161(g)(1) as, "the construction of a building and improvements directly related to the construction of a building..." and the terms "public sector" shall mean any work performed pursuant to a contract with a public or other governmental agency.

1. How many public sector design/build projects with a total construction cost of \$1 million or more has the Engineer completed in the last ten years?

Number of public sector \$1M+ design/build projects _____

List the following information for the (up to five) most recent of these projects. ***For each project, provide information in the Comparable Project form at the end of this section.*** D-B Entities may be awarded up to two points per comparable project for up to a maximum of five projects (minimum one public sector design/build project required).

Project Name/Year	Location	Construction Cost

2. How many Projects similar in size, building type, or complexity with a total construction cost of \$1 million or more has the Engineer completed in the last seven years?

Number of similar \$1M+ projects: _____

List the following information for the (up to five) most recent of these projects. ***For each project, provide information in the Comparable Project form at the end of this section.*** D-B Entities may be awarded up to two points per comparable project for up to a maximum of five projects.

Project Name/Year	Location	Construction Cost

PROJECT INFORMATION SHEET ENGINEER

VERIFY ALL CONTACTS PRIOR TO SUBMITTAL. D-B Entities are advised that the County reserves the right to verify all Project information submitted below. It is the D-B Entity's responsibility to ensure contacts are available to County 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."*

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's Office that Performed the Work:			
	_____	,	_____
	Street Address		City & State
			Zip Code
Name of Engineer's Project Manager for project:	_____		

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

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

PART V: KEY PERSONNEL

V.A Construction Project Manager Qualifications (For Mechanical Contractor). Complete this form in its entirety. Resumes shall be submitted in addition to this form. Resumes shall NOT be submitted in lieu of this form. Scoring criteria for Construction Project Manager for a maximum 15 point total as follows: BA or BS degree or higher: 2 points or AA degree: 1 point; Years experience in construction management (CM) or professional engineering: 1 point for every five years of experience up to 5 points; Design-build experience: 2 points for each design-build project up to 8 points. *If more space is needed, provide the information using the format below and attach it to this Questionnaire.*

Name of Proposed Construction Project Manager: _____

Institution/School	Degree Received	Major/Discipline	Year
_____	_____	_____	_____

List all CM or professional engineering experience (employer/dates from month/yr to month/yr)	Years as CM or professional engineer
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

TOTAL YEARS: _____

Begin with your most recent experience. List all Design-Build project experience that demonstrates the experience and background required to fulfill the assigned project responsibilities for the Project.

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** _____ \$
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Other: _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** _____ \$
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Other: _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** _____ \$
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Other: _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

Resumes shall be submitted in addition to this form. Resumes shall NOT be submitted in lieu of this form. Scoring criteria for Principal-in-Charge Qualifications Engineer for a maximum 9 points total as follows: California license 1point; Years experience: 1 point for every five years up to 4 points; 1 point for each public sector facility project; and 1 point for each design-build project up to 4 points. *If more space is needed, provide the information using the format below and attach it to this Questionnaire.*

[illegible]

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** \$ _____
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Educ. Facility ☐ Behavioral Health ☐ _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

Firm: _____ **Years of Employment:** _____ through _____

Project Name & Location: _____ **Contract Amount:** \$ _____

Owner: _____ **Contact Name, Title:** _____

Type of Facility: Design-Build ☐ Educ. Facility ☐ Behavioral Health ☐ _____ **Completion Date:** _____

Job Title: _____ **Responsibilities:** _____

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** \$ _____
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Educ. Facility ☐ Behavioral Health ☐ _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** \$ _____
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Educ. Facility ☐ Behavioral Health ☐ _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

V.C Project Engineer Qualifications (For Design Firm) Complete this form in its entirety. Resumes shall be submitted in addition to this form. Resumes shall NOT be submitted in lieu of this form. Scoring criteria for Project Engineer for a maximum 9 point total as follows: California license 1 point; Years professional experience: 1 point for every five years up to 4 points; 1 point for each public sector facility project and 1 point for each design-build project up to 4 points. *If more space is needed, provide the information using the format below and attach it to this Questionnaire.*

Name of Proposed Project Engineer: _____

Institution/School	Degree/License/Certificate Received	Major/Discipline	Year
_____	_____	_____	_____
_____	_____	_____	_____

List all Public Sector Facility and Design-Build projects	Years of Professional Experience
_____	_____
_____	_____

Begin with your most recent experience. List all Design-Build and/or Public Sector Facility project experience that demonstrates the experience and background required to fulfill the assigned project responsibilities for the Project.

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** \$ _____
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Educ. Facility ☐ Behavioral Health ☐ _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** \$ _____
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Educ. Facility ☐ Behavioral Health ☐ _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** \$ _____
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Educ. Facility ☐ Behavioral Health ☐ _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

Firm: _____ **Years of Employment:** _____ through _____
Project Name & Location: _____ **Contract Amount:** \$ _____
Owner: _____ **Contact Name, Title:** _____
Type of Facility: Design-Build ☐ Educ. Facility ☐ Behavioral Health ☐ _____ **Completion Date:** _____
Job Title: _____ **Responsibilities:** _____

PART VI: CERTIFICATION

Part VI 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. The County will not review Prequalification Questionnaires that are not properly verified.

I, the undersigned, am authorized to make this verification on behalf of the Design-Build Entity, _____. 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

PART II.A Essential Requirements For the D-B Entity as a Whole

Name of D-B Entity: _____

Question	Requirement / Question	Pass	Fail
1	Has the D-B Entity completed at least one public sector Design-Build project with a total contract value of \$1 million or more in the last seven years?		
2	Are the D-B Entity's organizational and indemnity documents attached?		
3	Is the D-B Entity's financial statement attached?		
4	The D-B Entity agrees to participate in the ECOP, SLEB and PSCBA programs?		
5	Has D-B Entity ever defaulted on a construction contract?		
6	Has the D-B Entity's surety paid for completion within the last 5 years?		
7	Is the D-B Entity ineligible to bid on public works?		
8	Has the D-B Entity been convicted of a crime on a public contract within the last 5 years?		
9	Has the D-B Entity been found liable or guilty in a civil or criminal action for making a false claim?		
10	Has the D-B Entity been convicted of a crime related to construction?		
11	Has the D-B Entity been convicted of a fraud, theft or dishonesty?		
(DISQUALIFIED if any of the items is marked "Fail")			

PART II.B Essential Requirements For the Mechanical Contractor and Core Sub-contractors:

Question #	Requirement / Question	Pass	Fail
12	Does the Mechanical Contractor and each proposed Core Sub-contractor have a valid, current California contractor's license?		
13	Does the Mechanical Contractor have at least \$2,000,000 per occurrence and \$5,000,000 aggregate liability insurance?		
14	Does the Mechanical Contractor have current workers' compensation insurance policies?		
15	Is the Mechanical Contractor's financial statements attached?		
16	Is Mechanical Contractor's notarized surety statement attached?		
17	Has the Mechanical Contractor had their license revoked or suspended in the last 5 years?		

Question #	Requirement / Question	Pass	Fail
18	Has Mechanical Contractor's surety paid for completion within the last 5 years?		
19	Is the Mechanical Contractor ineligible to bid on public works?		
20	Has the Mechanical Contractor been convicted of crime on a public contract within the last 5 years?		
21	Has the Mechanical Contractor been found liable or guilty in a civil or criminal action for making a false claim?		
22	Has the Mechanical Contractor been convicted of a crime related to construction?		
23	Has the Mechanical Contractor been convicted of a fraud, theft or dishonesty?		
(DISQUALIFIED if any of the items is marked "Fail")			

PART II.C Essential Requirements For the Engineer and Core Sub-Consultants:

Question #	Requirement / Question	Pass	Fail
24	Does the Engineer have a valid, current, professional license?		
25	Does the Engineer have at least \$1,000,000 per claim and \$2,000,000 aggregate liability insurance?		
26	Does the Engineer have current workers' compensation insurance policies?		
27	Is the Engineer's financial statement attached?		
28	Has the Engineer had their license, credential or registration revoked or suspended in the last 5 years?		
29	Has the Engineer been convicted of a crime on a government contract within the last 5 years?		
30	Has the Engineer been found liable or guilty in a civil or criminal action for making a false claim?		
31	Has the Engineer been convicted of a crime related to construction?		
32	Has the Engineer been convicted of a fraud, theft or dishonesty?		
DISQUALIFIED if any of the items is marked "Fail")			

PART III.A Scored Questions for the Mechanical Contractor (*Minimum required total score = 59 points; Maximum possible score = 80 points*):

Question #	Requirement / Question	Score
1	How many years has the Mechanical Contractor been in business in California? <i>Maximum score = 4 points</i>	
2	Is the Mechanical Contractor currently in a bankruptcy? <i>Maximum score = 4 points</i>	
3	Has the Mechanical Contractor been in a bankruptcy during the last 5 years? <i>Maximum score = 3 points</i>	
4	Has the Mechanical Contractor been cited for violations of the Contractor's State License Law in the last 5 years? <i>Maximum score = 3 points</i>	
5	How many projects has the Mechanical Contractor paid liquidated damages of more than \$50,000 in the last 5 years? <i>Maximum score = 3 points</i>	
6	Has the Mechanical Contractor or its associates ever defaulted on a construction contract? <i>Maximum score = 3 points</i>	
7	Has the Mechanical Contractor been prevented from bidding on or completing a public works project in the last 5 years? <i>Maximum score = 3 points</i>	
8	Has the Mechanical Contractor been denied the award of a public works projects based on a finding of not being a responsible bidder? <i>Maximum score = 3 points</i>	
9	Has a claim over \$50,000 been filed against the Mechanical Contractor in the last 5 years? <i>Maximum score = 3 points</i>	
10	Has Mechanical Contractor filed a claim of more than \$50,000 against a project owner in the last 5 years that was not resolved by change order or amendment? <i>Maximum score = 3 points</i>	
11	Has any insurance carrier refused to renew the Mechanical Contractor's policy? <i>Maximum score = 2 points</i>	
12	Has the Mechanical Contractor paid more than 1% for a performance and payment bond in the last 5 years? <i>Maximum score = 2 points</i>	
13	Has a surety ever denied the Mechanical Contractor payment or performance bond coverage in the last 5 years? <i>Maximum score = 2 points</i>	
14	Has CAL OSHA cited the Mechanical Contractor for serious, willful or repeated safety violations in the last 5 years? <i>Maximum score = 2 points</i>	

Question #	Requirement / Question	Score
15	Has federal OSHA cited or assessed penalties against the Mechanical Contractor in the last 5 years? <i>Maximum score = 2 points</i>	
16	Has EPA, AQMD or RWQCB cited and assessed penalties against the Mechanical Contractor in the last 5 years? <i>Maximum score = 2 points</i>	
17	Has the Mechanical Contractor been cited for violations of FICA withholding requirements in the last 5 years? <i>Maximum score = 2 points</i>	
18	Has the Mechanical Contractor been issued a worker's comp EMR >1 in the last 5 years? <i>Maximum score = 2 points</i>	
19	Has the Mechanical Contractor been without workmen's compensation insurance in the last 5 years? <i>Maximum score = 3 points</i>	
20	Has the Mechanical Contractor been required to pay back wages or failed to comply with state prevailing wage laws more than once in the last 5 years? <i>Maximum score = 2 points</i>	
21	Has the Mechanical Contractor been required to pay back wages or failed to comply with federal Davis-Bacon Act prevailing wage laws more than once in the last 5 years? <i>Maximum score = 2 points</i>	
22	Do the Mechanical Contractor and proposed Sub-contractors know their obligations re employment of apprentices on public works projects? <i>Maximum score = 2 points</i>	
23	Does the Mechanical Contractor intend to use apprentices from apprenticeship program approved by California Apprenticeship Council? <i>Maximum score = 2 points</i>	
24	Has the Mechanical Contractor operated state-approved apprenticeship program in the last 5 years? <i>Maximum score = 2 points</i>	
25	Has the Mechanical Contractor violated apprenticeship laws or regulations in the last 5 years? <i>Maximum score = 2 points</i>	
26	Does the Mechanical Contractor require regular safety meetings? <i>Maximum score = 2 points</i>	
27	Does the Mechanical Contractor have a written IIPP? <i>Maximum score = 2 points</i>	
28	Does the Mechanical Contractor have personnel permanently assigned to safety? <i>Maximum score = 2 points</i>	
29	Does the Mechanical Contractor have a substance abuse testing program? <i>Maximum score = 2 points</i>	
30	Does the Mechanical Contractor have a written QA/QC program? <i>Maximum score = 2 points</i>	

Question #	Requirement / Question	Score
31	Does the Mechanical Contractor have personnel permanently assigned to QA/QC? <i>Maximum score = 2 points</i>	
32	Will the Mechanical Contractor participate in the ECOP, SLEB and PSCBA programs? <i>Maximum score = 5 points</i>	

PART III.B Scored Questions for the Engineer (*Minimum required total score = 27 points; Maximum possible score = 37 points*):

Question #	Requirement / Question	Score
1	How many years has the Engineer been in business in California? <i>Maximum score = 6 points</i>	
2	Is the Engineer currently a debtor in a bankruptcy case? <i>Maximum score = 6 points</i>	
3	Was the Engineer in bankruptcy in the last 5 years? <i>Maximum score = 6 points</i>	
4	Has Engineer operated without Profession Liability insurance in last 7 years? <i>Maximum score = 6 points</i>	
5	Has a claim in excess of \$50,000 been filed against the Engineer in the last 5 years that was not resolved by change order or contract amendment? <i>Maximum score = 5 points</i>	
6	Has the Engineer filed a claim in excess of \$50,000 against any owner in the last 5 years that was not resolved by change order or contract amendment? <i>Maximum score = 4 points</i>	
7	Has any insurance carrier refused to renew a policy for Engineer in last 5 yrs? <i>Maximum score = 4 points</i>	

PART IV.A Recent Construction Projects Completed: D-B Entity and Mechanical Contractor (*Minimum required total score = 22 points; Maximum possible score = 40 points*):

Question #	Requirement / Question	Score
1	Number of public sector design-build projects (at least \$1M) <i>Maximum score = 10 points</i>	
2	Number of projects with same Contractor /Engineer Team (at least \$1M) <i>Maximum score = 10 points</i>	
3	Number of California public sector projects (at least \$1M) <i>Maximum score = 10 points</i>	

Question #	Requirement / Question	Score
4	Number of projects similar in scope and complexity (at least \$1M) <i>Maximum score = 10 points</i>	

PART IV.B Recent Construction Projects Completed: Engineer (*Minimum required total score = 12 points; Maximum possible score = 20 points*):

Question #	Requirement / Question	Score
1	Number of public sector design-build projects (at least \$1M) <i>Maximum score = 10 points</i>	
2	Number of projects similar in scope and complexity (at least \$1M) <i>Maximum score = 10 points</i>	

PART V: Key Personnel (*Minimum required total score = 20 points; Maximum possible score = 33 points*):

Question #	Requirement / Question	Score
1	Construction Project Manager Qualifications <i>Maximum score = 15 points</i>	
2	Principal-in-Charge Qualifications (For Engineer) <i>Maximum score = 9 points</i>	
3	Project Engineer Qualifications <i>Maximum score = 9 points</i>	

SCORING SUMMARY OF D-B ENTITY

Name of D-B Entity: _____

PART II: ESSENTIAL REQUIREMENTS FOR THE D-B ENTITY AS A WHOLE	Section Score
Part II A. Essential Requirements For the Design-Build Entity as a Whole (Disqualified if any items listed as "Fail")	
Part II B. Essential Requirements For the Mechanical Contractor & Core Sub-contractors (Disqualified if any items listed as "Fail")	
Part II C. Essential Requirements For the Engineer & Core Sub-consultants (Disqualified if any items listed as "Fail")	
Essential Requirements Sub-Total (Disqualified if Score is greater than 0)	
PART III: SCORED QUESTIONS FOR MEMBERS OF THE D-B ENTITY AND CORE ORGANIZATIONS	
Part III A. Scored Questions for the Mechanical Contractor (Minimum qualifying score is 59 out of the possible 80 points)	
Part III B. Scored Questions for the Engineer (Minimum qualifying score is 27 out of the possible 37 points)	
PART IV: RECENT CONSTRUCTION PROJECTS COMPLETED	Section Score
Part IV A. Relevant Experience: D-B Entity / Mechanical Contractor (Minimum qualifying score is 33 out of the possible 52 points)	
Part IV B. Relevant Experience: Engineer (Minimum qualifying score is 24 out of the possible 32 points)	
PART V: KEY PERSONNEL	
PART V. Key Personnel (Minimum qualifying score is 20 out of the possible 33 points)	
Total Score: Minimum Qualifying Score is 163 of the 234 total possible points	