DATE: April 1, 2015
TO: GCTD Board of Directors
FROM: Marlena Kohler
Purchasing Manager/DBE Officer
SUBJECT: Consider Approval of the Prequalification Procedures for the GCTD Administration and Operation Facility Construction Bid

I. Executive Summary

Pursuant to California Public Contract Code section 20101, a public agency such as Gold Coast Transit District may require licensed contractors to prequalify for the right to bid on a specific public works project. These code sections allows GCTD to require that each prospective bidder, for a specific project, complete and submit to GCTD a standardized questionnaire and financial statement in a form specified by the GCTD, including a complete statement of the prospective bidder's experience in performing public works projects.

The Code also states “a public entity shall establish a process for prequalifying prospective bidders”. Staff developed the attached Prequalification Procedure (Attachment 1) which includes a Prequalification Application (Attachment 2).

The procedure will begin with the submission of the Prequalification Application by the prospective bidders/contractors. The application will then be subject to a Review and Evaluation. Each review will involve GCTD staff as well as criteria by which each reviewer will apply to each application. References will also be checked in order to determine the applicant’s pre-qualification status. Applicants will be notified of their status and will be given time to appeal any denied application.

All firms having passed this pre-qualification process will be invited to continue on to the construction bid process.

II. Recommended Action

It is recommended that the Board of Directors approve the Prequalification Procedure for the GCTD Administration and Operation Facility Construction Bid.
General Manager’s Concurrence

______________________________
Steven P. Brown

Attachments:
1. Prequalification Procedure
2. Prepublication Application
REQUEST

for

PRE-QUALIFICATION

of

BIDDERS

for

GOLD COAST TRANSIT DISTRICT NEW ADMINISTRATION

AND OPERATIONS FACILITY PROJECT

April 1, 2015

Prequalification Package Submission Date:
Notice is hereby given that Gold Coast Transit District ("GCTD") has determined that all bidders on GOLD COAST TRANSIT DISTRICT NEW ADMINISTRATION AND OPERATIONS FACILITY PROJECT ("Project") must be pre-qualified prior to issuance of the construction bid on the Project. It is mandatory that all Contractors who intend to submit a bid, submit a fully completed Prequalification Package (pre-qualification application, and all materials requested herein), and be approved by GCTD to be on the final qualified Bidders list to receive the construction bid. No bid will be accepted from a Contractor that has failed to comply with these requirements. If two or more business entities submit a bid as part of a Joint Venture, or expect to submit a bid as part of a Joint Venture, each entity within the Joint Venture must be separately qualified to bid.

The Prequalification Package Submission Date is ________. Contractors are encouraged to submit pre-qualification packages as soon as possible, so that they may be notified of omissions of information to be remedied or of their pre-qualification status well in advance of the issuance of construction bid documents.

Answers to questions contained in the attached application, information about current bonding capacity, notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information, are required. GCTD will use these documents as the basis of rating Contractors in respect to the size and scope of contracts upon which each Contractor is qualified to bid. GCTD reserves the right to check other sources available. GCTD’s decision will be based on objective evaluation criteria.

GCTD reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information. Contractors whose rating changes sufficient to disqualify them will be notified, and given an opportunity for a hearing consistent with the hearing procedures described below for appealing a pre-qualification rating.

While it is the intent of the pre-qualification application and documents required therewith to assist GCTD in determining bidder responsibility prior to the construction bid and to aid GCTD in selecting the lowest responsible bidder, neither the fact of pre-qualification, nor any pre-qualification rating, will preclude GCTD from a post-bid consideration and determination of whether a bidder has the quality, fitness, capacity and experience to satisfactorily perform the proposed work, and has demonstrated the requisite trustworthiness.

The Contractor shall submit one original (marked clearly as such), four (4) hard copies, and one (1) storage media device or CD, each containing an electronic PDF copy of the Prequalification Package to GCTD. In case of any discrepancies, the original will be considered by GCTD in evaluating the Prequalification Package, and the electronic version is provided for GCTD’s administrative convenience only.

The Prequalification Package should be submitted under seal and marked “CONFIDENTIAL” to:

Gold Coast Transit District
301 E. 3rd Street
Oxnard, CA 93030
Marlena Kohler – Purchasing Manager/DBE Officer

The pre-qualification packages (completed application and all materials requested herein, i.e. financial statements) submitted by Contractors are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. However, the contents
may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of contractors applying for pre-qualification status shall be public records subject to disclosure, and the first page of the application will be used for that purpose.

Each application must be signed under penalty of perjury in the manner designated at the end of the form, by an individual who has the legal authority to bind the Contractor on whose behalf that person is signing. If any information provided by a Contractor becomes inaccurate, the Contractor must immediately notify GCTD and provide updated accurate information in writing, under penalty of perjury.

GCTD reserves the right to waive minor irregularities and omissions in the information contained in the pre-qualification application submitted, to make all final determinations, and to determine at any time that the pre-qualification procedures will not be applied to a specific future public works project.

Contractors may submit pre-qualification packages during regular working hours on any day that the offices of GCTD are open. Contractors who submit a complete pre-qualification package will be notified of their qualification status no later than thirty (30) business days after Pre-Qualification Package submission date. GCTD has a right to extend this notification date as it deems necessary and appropriate in order to fully complete this process.

GCTD may refuse to grant pre-qualification where the requested information and materials are not provided. There is no appeal from a refusal for an incomplete or late application. The issuance of the construction bid will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

Where a timely and completed application results in a rating below that necessary to pre-qualify, or where a Contractor is otherwise determined to be ineligible for pre-qualification, an appeal can be made. An appeal is begun by the Contractor delivering written notice to GCTD of its appeal of the decision with respect to its pre-qualification rating, no later than ten (10) business days after notification that the Contractor failed to pre-qualify. Without a timely appeal, the Contractor waives any and all rights to challenge the decision of GCTD, whether by administrative process, judicial process or any other legal process or proceeding.

If the Contractor gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than ten (10) business days after GCTD’s receipt of the notice of appeal. The hearing shall be an informal process conducted by the Director of Finance and Administration. At or prior to the hearing, the Contractor will be advised of the basis for GCTD’s pre-qualification determination. The Contractor will be given the opportunity to present information and present reasons in opposition to the rating. Within ten (10) days after the conclusion of the hearing, the hearing officer will render a decision. It is the intention of GCTD that the date for the submission or issuance of construction bid to prequalified bidders will not be delayed or postponed to allow for completion of an appeal process.

A contractor may be found not pre-qualified for bidding on the construction project to be let by GCTD until the contractor meets GCTD’s requirements. In addition, a contractor may be found not pre-qualified for either: (1) Omission of requested information or (2) Falsification of information.
• **PROJECT DESCRIPTION**

The GCTD Administration & Operations Facility project will construct the District’s administrative office and fixed route operation and maintenance facility. The construction project is comprised constructing four buildings totaling 49,500 sq-ft; 170,000 sq-ft of 10-inch thick reinforced concrete paving; 90,000 sq-ft of asphalt paving; five acres of landscaping; and furniture for 50 offices, five conference rooms, and a board room. The construction project will construct interior and exterior lighting that use 100% LED fixtures. The Administration and Operations Building that will be constructed is a 17,935 sq-ft single-story wood frame structure enclosed with fiber cement panels. The Maintenance Building that will be constructed is 24,330 sq-ft comprised of a steel structure enclosed with masonry block up to 7'-4” and fiber cement board on metal studs above. The maintenance building that will be constructed is a one story building with a high ceiling to accommodate eight bus service bays and a 3,000 sq-ft mezzanine for parts storage. The Fuel Building that will be constructed, 2,105 sq-ft, and Bus Wash Building that will be constructed, 5,163 sq-ft, are load bearing masonry wall structures. The washing and fueling lanes that will be constructed are covered by a metal deck canopy supported by a steel structure. Adjacent to fueling that will be constructed is a compressed natural gas (CNG) fueling system that will be constructed with three 850 scfm natural gas compressors with associated storage, piping, and appurtenances.

• **REVIEW AND EVALUATION**

Applications will be reviewed using the following criteria:

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Failure to comply with any of the following shall be grounds for disqualification:

1. The Contractor shall have a California General Contractor License issued by the Contractors’ State License Board, which is in good standing. If two or more business entities submit a bid as part of a Joint Venture, or expect to submit a bid as part of a Joint Venture, each entity within the Joint Venture must have a California General Contractor License issued by the Contractors’ State License Board, which is in good standing.

2. The application must be completed in its entirety. All questions in the application must be answered.

3. All responses must be consistent with other information in the application.

4. The application shall not contain any false or misleading information.

5. The Contractor must not have a conflict of interest that prevents the Contractor from performing work for GCTD.

6. The Contractor must not be debarred from performing public work by any federal, state, or local government.

7. The Contractor must not have the same ownership, management, or principal employees as any entity that is debarred from performing public work by any federal, state, or local government.
8. The Contractor must not be under the protection of a Bankruptcy Court, have a pending petition before a Bankruptcy Court, or have pending assignment of assets for benefit of creditors.

B. Related Experience

The Contractor must demonstrate experience in construction work similar to the work involved in the Project. Such experience must include:

1. Completion in the last five years of at least five projects with individual project construction values in excess of $15,000,000.

2. Completion in the last five years of at least three projects for public entities in the State of California, with individual project construction values in excess of $15,000,000.

3. Buildings of less than 25,000 sq-ft shall not qualify as being of similar size and scope.

4. Relevant projects will include as many of the following components and construction features as applicable:
   a. Office Buildings
   b. Maintenance Buildings
   c. CNG Fueling Stations
   d. Vehicle Wash System
   e. Projects with interrelated building systems (e.g. lighting control, energy management systems, fire life safety systems, security monitoring and alarms, telecommunications, and data distribution)
   f. Concrete Paving
   g. Asphalt Paving
   h. Projects with LEED certification

C. Contracting History

GCTD will select at least three of Contractor’s projects and conduct reference checks. The projects will be selected based on their similarity to the Project. The reference contacts will be asked to rate the Contractor’s performance in several areas of the contract with a rating of 1-5, 5 is best. Of three project references, an average rating of at least “3” is required for prequalification. If the overall rating is greater than “2” but less than “3”, or a single project score less than “3”, the GCTD will check at least two additional references. Evaluations of non-responsible performance; reports of false claims; or an overall rating of less than “2” will result in failure to meet the standard for prequalification.

D. Contractor’s Capacity

The Contractor must show that:

1. The Contractor has sufficient and qualified personnel to perform at least 30% of the work.
2. The Contractor has sufficient and appropriate equipment to perform at least 30% of the work.

**E. Application**

The Contractor must answer each question in the application. The responses will be scored to determine whether the Contractor meets the minimum qualifications. Responses containing a “NO” will receive the highest scores.

For any “YES” responses, the contractor shall provide a separate sheet explaining:

1. The number of instances resulting in a “YES” answer.

2. The circumstances of each instance resulting in a “YES” answer.

3. The project which is the subject of each instance resulting in a “YES” answer, including the owner of the project and the approximate dates of the project.

**F. Additional Documentation**

The Contractor shall submit all additional documentation as required by the Section VII of the application. Failure to submit required documentation shall result in disqualification.

- **ADDITIONAL INFORMATION**

  GCTD may request additional information from the Contractor. Failure to provide the information may result in disqualification.

- **RETENTION OF DOCUMENTS**

  The prequalification files are located in the Prequalification Coordinator’s office and will be maintained for three (3) years after award of construction bid, after which they are destroyed.

- **FOR INFORMATION AND QUESTIONS**

  For any questions concerning the GCTD Prequalification, please contact the PREQUALIFICATION COORDINATOR at the following:

  Phone: (805)483-3959 X121

  Email: mkohler@goldcoasttransit.org

  Mail: GCTD Purchasing Manager/DBE Officer
  301 E. 3rd Street
  Oxnard, CA 93030
CONTRACTOR PREQUALIFICATION APPLICATION

Name of Project

IFB Number

Gold Coast Transit District (GCTD) will issue a bid proposal package for the GCTD Administration & Operations Facility to pre-qualified bidders. In order to prequalify to bid with GCTD, the bidder shall return this fully completed questionnaire, Form No. 15-05-PQ, no later than 3:00 pm, May XX, 2015, to the address indicated in item number 2 on page 2 of this package.

Name of Applicant Firm:

Preparer’s Name:

Date of Submission:

PROJECT DESCRIPTION:

The GCTD Administration & Operations Facility is the District’s administrative office and fixed route operation and maintenance facility. The project is comprised of four buildings totaling 49,500 sq-ft; 170,000 sq-ft of 10-inch thick reinforced concrete paving; 90,000 sq-ft of asphalt paving; five acres of landscaping; and furniture for 50 employees five conference rooms, and a board room. The project will use 100% LED fixtures for both the interior and exterior lighting.

The Administration and Operations Building is a 17,935 sq-ft single-story wood frame structure enclosed with fiber cement panels. The Maintenance Building is 24,330 sq-ft comprised of a steel structure enclosed with masonry block up to 7'-4" and fiber cement board on metal studs above. The maintenance building is a one story building with a high ceiling to accommodate eight bus service bays and a 3,000 sq-ft mezzanine for parts storage. The Fuel Building, 2,105 sq-ft, and Bus Wash Building, 5,163 sq-ft, are load bearing masonry wall structures. The washing and fueling lanes are covered by a metal deck canopy supported by a steel structure. Adjacent to fueling is a compressed natural gas (CNG) fueling system with three 850 scfm natural gas compressors with associated storage, piping, and appurtenances.
PREQUALIFICATION APPLICATION INSTRUCTIONS

1. REQUIRED PREQUALIFICATION OF BIDDERS: Pursuant to the California Public Contract Code section 20101 a public agency such as the Gold Coast Transit District may require licensed contractors to pre-qualify for the right to bid on a specific public works project. This code section allows GCTD to require that each prospective bidder, for a specific project, complete and submit to GCTD a standardized questionnaire and financial statement in a form specified by the GCTD, including a complete statement of the prospective bidder’s experience in performing public works projects.

2. PREQUALIFICATION PROCEDURES: Prospective bidders/contractors for the GCTD Administration & Operations Facility project shall complete the prequalification application, Form No. IFB 15-05-PQ, and submit with all attachments (three (3) hard copies and one (1) copy on storage media device or CD) to GCTD, at the following address:

   Ms. Marlena Kohler, Purchasing Manager
   Gold Coast Transit District
   301 East Third Street
   Oxnard, CA 93030

   Please mark the envelope with GCTD NEW FACILITY PRE-QUALIFICATION 15-05 PQ.

   Note: You can reach the Prequalification Coordinator by telephone at 805-483-3959, Ext 121, or by email at mkohler@goldcoasttransit.org. Form IFB 15-05-PQ is available by registering at www.publicpurchase.com (a hyperlink to this website is available on GCTD’s website: http://www.goldcoasttransit.org). At this time, electronic submittals are not allowed.

3. SUBMISSION DEADLINE: Submit three (3) hard copies and one (1) copy on storage media device or CD of submittal package no later than:

   3:00 p.m., May XX, 2015.

4. JOINT VENTURE: If two or more prospective bidders/contractors wish to bid the project as a joint venture, the following apply:

   a. All firms involved in the joint venture must separately submit an application for prequalification by the submission deadline and register with the Department of Industrial Relations to bid on public works projects.

   b. The firms must also submit an Affidavit of Joint Venture no less than one day prior to the project bid date. Submit the Affidavit of Joint Venture form to GCTD at the address in page ii, paragraph 2 above.

   c. The joint venture must have the required license in the name of the Joint Venture at the time of award.

   d. Only one of the firms in the joint venture is required to attend the pre-bid conference.

5. CORRECT AFFIDAVIT: The application should be completed by a person in the firm who is knowledgeable and duly authorized to bind the firm and attest to the past and present operations of the firm and its policies. A corporate officer of the firm, owner or partner, as appropriate, must sign the Pre-Qualifications certification form.

6. REVIEW AND PREQUALIFICATION: The Prequalification Coordinator shall review the standard form of questionnaire (Form No. IFB 15-05-PQ) and the financial statement. The Prequalification Coordinator will randomly select three of prospective bidder/contractor’s projects and conduct reference checks. The reference contacts will be asked to rate your firm’s performance in several areas of their contract with a rating of 1-5, 5 is best. Of three project references, an average rating of at least “3” is required for prequalification. If the overall rating is greater than “2” but less than “3”, or a single project score less than “3”, the Prequalification Coordinator will check at least two additional references. Evaluations of non-responsible performance; reports of false claims; or an overall rating of less than “2” will result in failure to meet the standard for prequalification.
SECTION I - IDENTIFICATION

1. Name of Applicant Firm: 

2. Address:  

3. Phone:  

4. Website:  

5. Applicant Firm's Contact Person for Pre-Qualification Office follow-up:  

   Position:  
   Phone:  
   email:  

6. Has Applicant Firm changed its address or has the Firm or its any of its principles operated under any other name(s) including other DBAs in the past five years? If yes, explain fully on a separate sheet of paper.  
   No  
   Yes  

7. Type of Business Organization  
   - □ Corporation  
     Date and State of Incorporation:  
   - □ Limited Liability Corporation (LLC)  
     Date and State of Incorporation:  
   - □ General Partnership (GP)  
     Date and State of Partnership:  
   - □ Sole Proprietor  
   - □ Limited Partnership (LP)  
   - □ Limited Liability Partnership (LLP)  
   - □ Other (describe)  

8. Date Firm Established:  

9. Number of Current Employees:  

10. California Contractor License Number:  

11. CSLB License Classifications:  

12. CA Dept. of Industrial Relations Public Works Registration Number:  

13. Bonding Company:  

14. Bonding Company Rating:  

   Current bonding capacity (single project basis):  
   Aggregate basis:  

   *attach letter from bonding company addressed to GCTD confirming bonding capacity on a per project basis and on an aggregate basis.

NOTE: If answering "YES" to any question in the following sections: on a separate sheet, provide details including brief summary of cause(s) of action. Indicate if Applicant Firm, Key Person(s) or Affiliate Firms were Plaintiffs or Defendants; define charges explicitly, by what authority, court or jurisdiction, etc. In the case of tax liens, please indicate whether the liens were resolved with the tax authority along with proof of payment.
SECTION II - OWNERSHIP/MANAGEMENT, PROJECT TEAM MEMBERS AND RELATED ENTITIES

1. Owners/Key Persons

List Owners and Key Person of Applicant Firm. For Large publicly traded companies, list only Key Person.

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<th>Full Legal Name</th>
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2. Staff

List Staff to be used in support of this project:

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<th>Position</th>
<th># Years Experience</th>
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3. Related Entities (Affiliates/Subsidiaries/Joint Ventures)

A. List Affiliates, subsidiaries, holding companies, joint ventures, etc., of Applicant Firm. If no affiliates, state NON. N/A is not acceptable answer. Provide organizational, geographical or functional chart, if it would assist in clarifying the line(s) of authority.

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<th>Affiliate Name and Address</th>
<th>Phone #</th>
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B. At any time during the past five (5) years have any Owners or Key Persons of Applicant Firm: (if yes, please explain on separate sheet)

1. Served as Key Person, Officer or Director in any other Firm not affiliated with Applicant Firm? If yes, please explain in a separate sheet.

2. Had any Ownership interested in any other Firm other than shares of publicly owned companies? If yes, please explain in a separate sheet.

No | Yes

SECTION III - CONTRACTING HISTORY

1. Contracting History

A. List the following information for all public works and private sector construction projects completed within the past five (5) years for individual contracts over $15,000,000. **Names and references must be current and verifiable.** Attach additional sheets that contain all the information. List projects in chronological order, most recently completed first.

1) Name of Project and Location.

2) Total Value of Construction (include contract award amount and total change orders).

3) Project Dates (include month and year of Start/Notice to Proceed and completion dates).

4) Project Owner (provide public agency name and address).

5) Owner Reference (include contact name, current email address and phone number).

6) Experience record of staff (include name, position, number of years' experience) resumes not required.

B. Is the Applicant Firm currently a certified Disadvantaged Business Entity (DBE)?

No | Yes
In the past five (5) years, has the Applicant Firm, Key Person/s or any Affiliate been subject to the following: (if yes, please explain on separate sheet)

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SECTION IV - CIVIL ACTIONS

1. VIOLATION OF CIVIL LAW - in the past five (5) years has Applicant Firm, any of its Affiliates been the subject of an investigation of any alleged violation of a civil antitrust law, or other Federal, State or Local civil law?

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2. LAWSUITS WITH PUBLIC AGENCIES - at the present time is, or during the past five (5) years has the Applicant Firm, any of its Key Persons or any Affiliate been a plaintiff or defendant in any lawsuit regarding services or goods provided to GCTD or to a public agency?

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3. BANKRUPTCY - during the past five (5) years, has the Applicant Firm or any Affiliate filed for bankruptcy or reorganization under the bankruptcy laws?

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4. JUDGEMENTS, LIENS AND CLAIMS - during the past five (5) years, has the Applicant Firm been the subject of a judgement, lien or claim of $25,000 or more by a subcontractor or supplier?

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5. TAX LIENS - during the past five (5) years, has the Applicant Firm been subject of a tax lien by Federal, State or other tax authority?

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SECTION V - COMPLIANCE WITH LAWS AND OTHER REGULATIONS

1. CRIMINAL - In the past five (5) years has the Applicant Firm, any of its principals, officers or Affiliates been convicted or currently charged with any of the following:

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2. REGULATORY COMPLIANCE - In the past five (5) years has the Applicant Firm, any of its Key Persons or Affiliates:

<table>
<thead>
<tr>
<th></th>
<th>No</th>
<th>Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>B.</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>C.</td>
<td>□</td>
<td>□</td>
</tr>
<tr>
<td>D.</td>
<td>□</td>
<td>□</td>
</tr>
</tbody>
</table>
E. Had it corporate status, business entity’s license or any professional certification, suspended, revoked, or had otherwise been prohibited from doing business in the State of California, in the last five (5) years? □ No □ Yes

F. Violation of any law, regulation or agreement relating to a conflict of interest with respect to a government funded procurement? □ No □ Yes

SECTION VI - ETHICS

1. CONFLICT OF INTEREST

A. Does the Applicant Firm or any Key Persons have any existing relationships that could be construed as either personal or organizational conflicts of interest, or which would give rise to a conflict if Applicant Firm should be recipient of a contract with GCTD? □ No □ Yes

B. Has any Owner or Key Person of Project Team member of Applicant Firm ever: (if YES, please explain)

1. Been an employee of GCTD, or served as a member of GCTD’s Board of Directors? □ No □ Yes

2. Been related by blood or marriage to a GCTD employee, GCTD Board Member or Alternate? □ No □ Yes

SECTION VII - ADDITIONAL DOCUMENTATION REQUIRED

1. Applicant Firm’s Current Local Business Licenses, if required by City, County or State.

2. Safety Qualifications - Provide the Average Lost Workday Incident Rates, Average Recordable Incident Rates and the Experience Modification Rate using attached form. Use data from the past three (3) years. The minimum acceptable standard for these indices, as stated thereon, must be met in order for the Applicant Firm to be pre-qualified. Applicant Firm shall also indicate its workers’ compensation insurance carrier information at the bottom of the page, and submit copies of OSHA form no. 300, Log of Work-Related Injuries and Illnesses, and OSHA form no. 300A, Annual Summary of Work-Related Injuries and Illnesses, for the past three years. Applicant Firm shall also provide proof of workers’ compensation insurance coverage.

3. Insurance: Copy of Certificate of Insurance (ACORD certificate) indicating Applicant Firm’s ability to provide insurance coverage (General Liability, Auto, Worker’s Compensation) at the limits needed for this project.

4. Applicant Firm’s Financial Statement- Applicant Firm shall attach a complete audited or reviewed financial statement (report) prepared by an independent, licensed certified public account or public accountant.

NOTE: a financial statement that is a compilation does not meet GCTD’s financial standard, and may result in disqualification or a very low rating. In this situation, the Applicant Firm may contact the Pre-Qualification Coordinator.

GCTD Reserves the right to ask for additional documentation if it is reasonably required to make a determination of integrity and responsibility relevant to the goods or services the Applicant Firm will provide to GCTD if awarded the contract.
PRE-QUALIFICATION CERTIFICATION

Certification

The submitter of the foregoing statements contained on this Prequalification of Prospective Bidders has read the same, and it is true to the best of the submitter’s knowledge. The statements are for the purpose of inducing GCTD to supply the submitter with bid documents, and any reference named therein is hereby authorized to supply GCTD with any information necessary to verify the statements.

By signing below, the submitter certifies and declares under penalty of perjury under the laws of the State of California that the foregoing is true and correct. **GCTD requires a wet signature on this affidavit.**

SIGNATURE OF AN INDIVIDUAL

Executed this [Day] day of [Month] [Year] in the City of [ ] County of [ ]

State of [ ]

Signature of Applicant: [ ]

an individual, doing business as [ ]

SIGNATURE OF A PARTNER

Executed this [Day] day of [Month] [Year] in the City of [ ] County of [ ]

State of [ ]

Signature of Applicant: [ ]

a partner of: [Name of Firm] (Name of Firm)

SIGNATURE OF AN OFFICER OF A CORPORATION

Executed this [Day] day of [Month] [Year] in the City of [ ] County of [ ]

State of [ ]

Signature of Applicant: [ ]

an officer with the title of [title of Corporate Officer] of [Corporation Name] (Corporation Name)

NOTICE TO APPLICANTS

A material false statement, omission or fraudulent inducements made in connection with this pre-qualification application is sufficient cause for denial of the application or revocation of a prior approval, thereby precluding the applicant firm from doing business with or performing work for GCTD, either as a vendor, prime contractor, sub-contractor, consultant or sub-consultant for a period of five (5) years. In addition, such false submission may subject the person and/or entity making the false statement to criminal charges. (Title 18 USC 1001, false statements; California Penal Code Section 132, offering altered or antedated or forged documents or records; Section 134, preparing false documentary evidence).

NOTE: Applicant information submitted to GCTD in connection with pre-qualification is considered confidential. All such applicant information is confidential business information and will be afforded protection to the fullest extent permitted by law.
SAFETY QUALIFICATION

Provide the Average Lost Workday Incident Rates, Average Recordable Incident Rates and most recent Experience Modification Rate in the spaces provided on this page. In addition, the prospective bidder is required to submit proof of workers compensation insurance and complete copies of OSHA forms requested under item 5 of this section.

The Average Lost Workday Incident Rate (LWIR) and the Average Recordable Incident Rate (RIR) are requested for evaluation of the safety history relating to the prospective bidder’s construction operations only. Home office staff labor hours and the corresponding injury and illness figures for home office staff shall not be included in the calculation of these rates. Similar information for parent companies, subsidiaries, or other company divisions not directly engaging in construction activities shall not be considered in these rate calculations. All data used in the calculations shall be specific to the contracting entity listed on page 1; inclusion of data from major subcontractors or other sub-tier contractors is not acceptable.

The Experience Modification Rate (EMR) is established by the Contractor’s workers’ compensation insurance carrier, based on the Contractor’s loss history. Prospective bidders are to provide their Intrastate EMR, which is used for evaluation of contractors in the State of California. Provide all requested information in the spaces provided.

Basis of Prequalification: The LWIR and RIR are assigned a maximum of 20 points each, EMR 10 points maximum, and those scores decrease as the rate increases. For example: an LWIR that equals 0 will receive a score of 20, and one that is greater than or equal to 9.5 will score 0; an RIR that is less than 1.0 will receive a score of 20, and one that is greater than 19.9 will score 0; an EMR that is .5 or less will score 10, and one that is greater than 1.4 will score 0 points. An overall score of 25 points is required; failure to achieve an overall score of 25 points will result in denial of your firm’s prequalification application.

1. Average Lost Workday Incident Rate (LWIR). Provide your firm’s LWIR for the past three (3) complete years. The lost workday information is listed on your OSHA form numbers 300 and 300A and is available from your workers’ comp. Insurance carrier.

<table>
<thead>
<tr>
<th>Year</th>
<th># of Lost Workdays Incidents</th>
<th>Total Employee Hours Worked</th>
<th>Lost Workday Incident Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2014</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. Average Recordable Incident Rate (RIR). Provide your firm’s RIR for the past three (3) years. The incident rate information is listed on your OSHA form numbers 300 and 300A and is available from your workers’ compensation insurance carrier.

<table>
<thead>
<tr>
<th>Year</th>
<th># of Lost Workdays Incidents</th>
<th>Total Employee Hours Worked</th>
<th>Recordable Incident Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2012</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2013</td>
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<td></td>
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<tr>
<td>2014</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

3. Experience Modification Rate (EMR)

Enter your firm’s EMR for the most recent year (this information is provided by your workers’ compensation insurance carrier).

<table>
<thead>
<tr>
<th>Year</th>
<th>EMR</th>
<th>Is your firm Self-Insured in California?</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014</td>
<td></td>
<td>☐ No</td>
</tr>
<tr>
<td></td>
<td></td>
<td>☑ Yes</td>
</tr>
</tbody>
</table>

*attach certificate