**STATEMENT OF QUALIFICATIONS**

**PROGRESSIVE DESIGN-BUILD SERVICES**

**FOR**

**SILICON VALLEY WATER PURIFICATION CENTER EXPANSION PROJECT**

**DB Entity: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Volume: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Note: Only Parts I through VIII of this document (including any requested or required supporting documents) are to be submitted.**

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PART I: CONTACT INFORMATION AND CERTIFICATION

The DB Entity must provide all of the following contact information to be considered for further review.

The DB Entity must also include a signed SOQ Transmittal Form (Appendix 1 SOQ Transmittal Form), certifying that the statements and information contained in this Statement of Qualifications are complete and accurate and that the submittal contains no false or deliberately misleading information. By signing the SOQ Transmittal Form, the DB Entity acknowledges that receipt of this submittal by the DISTRICT does not constitute either a direct or implied guarantee to the DB Entity that it will be short-listed. By signing the SOQ Transmittal Form and submitting this SOQ, the DB Entity further agrees to be bound by the procedures and conditions as described in this RFQ.

The DB Entity is the entity that will execute the Design- Build Contract. If the legal entity constituting the DB Entity has not yet been formed, questions referring to the DB Entity should be answered as if the DB Entity has been formed.

1. **CONTACT INFORMATION**
2. Legal Name of DB Entity:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Address of DB Entity: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
4. Phone Number of DB Entity: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
5. Contact Person and Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Contact person for this SOQ. Contact does not need to be Company Owner*

Contact Person E-mail: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. DB Entity is:

|  |  |  |  |
| --- | --- | --- | --- |
|  | A Corporation |  | A Partnership |
|  | A Sole Proprietorship |  | A Joint Venture |
|  | Other legal entity (specify): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |

1. Date of company formation or incorporation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Under the laws of what state: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. **DESIGN-BUILD TEAM MEMBERS**

In the spaces provided below, name the General Contractor and the Principal Engineering Firm:

1. General Contractor Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Principal Engineering Firm Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**NOTE: DB Entities should only list the Other Design Firms that will participate in providing Design Services for the PROJECT, if any.**

1. Other Design Firm Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Explain involvement with the Design:*

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

1. Other Design Firm Name:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Explain involvement with the Design:*

*\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_*

**NOTE: Attach additional pages for additional Design Firms if necessary.**

1. **ORGANIZATIONAL DOCUMENTS**
2. Provide a copy of the organizational documents creating the DB Entity (articles of incorporation, partnership agreement, joint venture agreement, etc.). This requirement is applicable to all DB Entities, existing and intended to be formed.
3. The organizational documents submitted shall indicate all shareholders, partners or members who will perform work on the PROJECT.
4. If, at submission of the SOQ, the DB Entity has not executed organizational documents yet, please describe the intended structure of the DB Entity and the organizational documents that are intended to be executed.
5. Short-listed DB Entities will be required to submit executed organizational documents with their proposal as part of the RFP process.
6. **EXECUTION & CERTIFICATION**

Complete and attach **Appendix 1 SOQ Transmittal Form**: All information set forth in this SOQ shall be certified under penalty of perjury by the Design-Build Entity and, if a partnership or joint venture, its general partners or joint venture members.

**–End of Part I–**

PART II: GENERAL INFORMATION

The DB Entity must provide all of the following information:

1. **INFORMATION ABOUT THE GENERAL CONTRACTOR**
2. Name of General Contractor: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Date of company formation or incorporation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
4. Under the laws of what state: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
5. General contractor is a (*select one and provide requested information*):

|  |  |
| --- | --- |
|  | Corporation – provide information in 4a(1) and 4a(2) |
|  | Sole proprietorship – provide information in 4b(1) and 4b(2) |
|  | Joint Venture, Partnership or Other legal entity – provide information in 4c(1) and 4c(2) |

4a(1). If the General Contractor is a ***corporation***, provide all the following information as of the date of issuance of this RFQ for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least 10% of the corporation’s stock.

|  |  |  |  |
| --- | --- | --- | --- |
| **Person’s Name** | **Position** | **Years with Co.** | **%**  **Ownership** |
| CEO |  |  |  |
| President |  |  |  |
| Secretary |  |  |  |
| Treasurer |  |  |  |
|  |  |  |  |
|  |  |  |  |

4a(2). Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years (immediately before the date of issuance of this RFQ).

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

|  |  |  |
| --- | --- | --- |
| **Person’s Name** | **Construction Firm** | **Dates of Person’s Participation with Firm** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

4b(1). If the General Contractor is a ***sole proprietorship***, complete the following:

|  |  |
| --- | --- |
| **Owner** | **Years as Owner** |
|  |  |

4b(2). Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years (immediately before the date of issuance of this RFQ).

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

|  |  |  |
| --- | --- | --- |
| **Person’s Name** | **Construction Company** | **Dates of Person’s Participation with Company** |
|  |  |  |
|  |  |  |
|  |  |  |

4c(1). If the General Contractor is a ***joint venture, partnership, or other legal entity (other than corporation)***, provide all the following information as of the date of issuance of this RFQ for each member of the joint venture, each partner or each other legal entity member who owns 10 per cent or more of the firm *(attach additional pages if necessary).*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Individual**  **or Entity** | **Principal Contact** | **Position** | **Years with JV/ Partnership/ Association** | **%**  **Ownership Interest** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

4c(2). Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years (immediately before the date of issuance of this RFQ).

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

|  |  |  |
| --- | --- | --- |
| **Person’s Name** | **Construction Company** | **Dates of Person’s Participation with Company** |
|  |  |  |
|  |  |  |
|  |  |  |

1. Has there been any change in ownership of the General Contractor at any time during the last three (3) years (immediately before the date of issuance of this RFQ)?

**NOTE: A corporation whose shares are publicly traded is not required to answer this question but must check the “Publicly Traded” box.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  | Publicly Traded |

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

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

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

1. Are any corporate officers, partners or owners connected to any other design or construction firms?

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

1. NOT USED
2. List all license numbers, classifications and expiration dates of the California contractor’s licenses held by the General Contractor, including any licenses or registration with the California Department of Industrial Relations required in accordance with SB 854:

|  |  |  |  |
| --- | --- | --- | --- |
| **License Number** | **Trade Classification** | **Date Issued** | **Expiration Date** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

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

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Has the General Contractor changed names or license numbers in the past five (5) years (immediately before the date of issuance of this RFQ)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” explain on a separate page, including the reason for the change.*

1. Has any owner, partner or, for corporations, officer of your firm operated a construction firm under any other name in the last five (5) years (immediately before the date of issuance of this RFQ)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” explain on a separate page, including the reason for the change.*

1. Provide surety information for General Contractor:

Bonding Co./Surety:

Surety Agent:

Agent Address:

Phone Number:

1. List all other sureties (name and full address) that have written bonds for the General Contractor during the last five years (immediately before the date of issuance of this RFQ). Include the periods during which each wrote the bonds.

|  |  |  |
| --- | --- | --- |
| **Surety** | **Address** | **Periods of Coverage** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

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1. **INFORMATION ABOUT THE PRINCIPAL ENGINEERING FIRM**
2. Provide the following:

Name of Principal Engineering Firm:

Name of Principal Engineer:

License Number:

Years in Practice:

1. **Is the Principal Engineering Firm different from that of the General Contractor?**

|  |  |
| --- | --- |
|  | Yes; answer all questions below |
|  | No; proceed to Question 11 |

1. Date of company formation or incorporation:
2. Under the laws of what state:
3. Principal Engineering Firm is a (select one and provide requested information):

|  |  |
| --- | --- |
|  | Corporation – provide information in 5a |
|  | Sole proprietorship – provide information in 5b |
|  | Joint Venture, Partnership or Other legal entity – provide information in 5c |

5a. If the Principal Engineering Firm is a ***corporation***, provide all the following information as of the date of issuance of this RFQ for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least 10% of the corporation’s stock.

|  |  |  |  |
| --- | --- | --- | --- |
| **Person’s Name** | **Position** | **Years with Co.** | **%**  **Ownership** |
| CEO |  |  |  |
| President |  |  |  |
| Secretary |  |  |  |
| Treasurer |  |  |  |
|  |  |  |  |
|  |  |  |  |

5b. If the Principal Engineering Firm is a ***sole proprietorship***, complete the following:

|  |  |
| --- | --- |
| **Owner** | **Years as Owner** |
|  |  |

5c. If the Principal Engineering Firm is a ***joint venture, partnership, or other legal entity (other than corporation)***, provide all the following information as of the date of issuance of this RFQ for each member of the joint venture, each partner or each other legal entity member who owns 10 per cent or more of the firm *(attach additional pages if necessary).*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Individual**  **or Entity** | **Principal Contact** | **Position** | **Years with JV/ Partnership/ Association** | **%**  **Ownership Interest** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

1. Has there been any change in ownership of the Principal Engineering Firm at any time during the last three (3) years (immediately before the date of issuance of this RFQ)?

**NOTE: A corporation whose shares are publicly traded is not required to answer this question but must check the “Publicly Traded” box.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  | Publicly Traded |

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

1. Is the Principal Engineering Firm a subsidiary, parent, holding company or affiliate of another design or construction firm?

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

1. NOT USED
2. Has any corporate officers, partners or owners of the Principal Engineering Firm worked for any other engineering or architectural firms in the past five (5) years (immediately before the date of issuance of this RFQ):?

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

1. Has the Principal Engineering Firm changed names in the past five (5) years (immediately before the date of issuance of this RFQ)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” explain on a separate page, including the reason for the change.*

1. Provide the following information for all known Engineers and Architects who will be working on the design for this PROJECT: *(attach additional pages if necessary)*

|  |  |  |  |
| --- | --- | --- | --- |
| **Engineer/ Architect** | **Discipline** | **License Number** | **Years in Practice** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

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1. **INFORMATION ABOUT THE OTHER DESIGN FIRMS, IF ANY**

For each of the Other Design Firms identified in Part I.B, if any, provide the information below.

1. Name of Other Design Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Element of Design to be Performed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Provide the following information for all known Engineers and Architects of this Other Design Firm who will be working on the design for this PROJECT: *(attach additional pages if necessary)*

|  |  |  |  |
| --- | --- | --- | --- |
| **Engineer/ Architect** | **Discipline** | **License Number** | **Years in Practice** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. Name of Other Design Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Element of Design to be Performed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Provide the following information for all known Engineers and Architects of this Other Design Firm who will be providing detailed design for this PROJECT: *(attach additional pages if necessary)*

|  |  |  |  |
| --- | --- | --- | --- |
| **Engineer/ Architect** | **Discipline** | **License Number** | **Years in Practice** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

**NOTE: Attach additional pages for additional Other Design Firms if necessary.**

1. **INFORMATION ABOUT THE DESIGN-BUILD ENTITY**

If the legal entity constituting the DB Entity has not yet been formed, questions referring to the DB Entity should be answered as if the DB Entity has been formed.

1. Name of Design-Build Entity: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Is the Design-Build Entity different from that of the General Contractor?**

|  |  |
| --- | --- |
|  | Yes; answer all questions below |
|  | No; proceed to Part III |

1. Date of company formation or incorporation: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. Under the laws of what state: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
3. Design-Build Entity is a (*select one and provide requested information*):

|  |  |
| --- | --- |
|  | Corporation – provide information in 4a(1) and 4a(2) |
|  | Sole proprietorship – provide information in 4b(1) and 4b(2) |
|  | Joint Venture, Partnership or Other legal entity – provide information in 4c(1) and 4c(2) |

4a(1). If the Design-Build Entity is a ***corporation***, provide all the following information as of the date of issuance of this RFQ for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least 10% of the corporation’s stock.

|  |  |  |  |
| --- | --- | --- | --- |
| **Person’s Name** | **Position** | **Years with Co.** | **%**  **Ownership** |
| CEO |  |  |  |
| President |  |  |  |
| Secretary |  |  |  |
| Treasurer |  |  |  |
|  |  |  |  |
|  |  |  |  |

4a(2). Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years (immediately before the date of issuance of this RFQ).

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

|  |  |  |
| --- | --- | --- |
| **Person’s Name** | **Construction Firm** | **Dates of Person’s Participation with Firm** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

4b(1). If the Design-Build Entity is a ***sole proprietorship***, complete the following:

|  |  |
| --- | --- |
| **Owner** | **Years as Owner** |
|  |  |

4b(2). Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years (immediately before the date of issuance of this RFQ).

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

|  |  |  |
| --- | --- | --- |
| **Person’s Name** | **Construction Company** | **Dates of Person’s Participation with Company** |
|  |  |  |
|  |  |  |
|  |  |  |

4c(1). If the Design-Build Entity is a ***joint venture, partnership, or other legal entity (other than corporation)***, provide all the following information as of the date of issuance of this RFQ for each member of the joint venture, each partner or each other legal entity member who owns 10 per cent or more of the firm *(attach additional pages if necessary).*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Name of Individual**  **or Entity** | **Principal Contact** | **Position** | **Years with JV/ Partnership/ Association** | **%**  **Ownership Interest** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |

4c(2). Identify every construction company that any partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five years (immediately before the date of issuance of this RFQ).

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

|  |  |  |
| --- | --- | --- |
| **Person’s Name** | **Construction Company** | **Dates of Person’s Participation with Company** |
|  |  |  |
|  |  |  |
|  |  |  |

1. Has there been any change in ownership of the Design-Build Entity at any time during the last three (3) years (immediately before the date of issuance of this RFQ)?

**NOTE: A corporation whose shares are publicly traded is not required to answer this question but must check the “Publicly Traded” box.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  | Publicly Traded |

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

1. Is the Design-Build Entity a subsidiary, parent, holding company or affiliate of another construction or design firm?

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

1. Are any corporate officers, partners or owners connected to any other design or construction firms?

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

1. NOT USED
2. List all license numbers, classifications and expiration dates of the California contractor’s licenses held by the Design-Build Entity, including any licenses or registration with the California Department of Industrial Relations required in accordance with SB 854:

|  |  |  |  |
| --- | --- | --- | --- |
| **License Number** | **Trade Classification** | **Date Issued** | **Expiration Date** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

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

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. Has the Design-Build Entity changed names or license numbers in the past five (5) years (immediately before the date of issuance of this RFQ)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” explain on a separate page, including the reason for the change.*

1. Has any owner, partner or, for corporations, officer of your firm operated a construction firm under any other name in the last five (5) years (immediately before the date of issuance of this RFQ)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” explain on a separate page, including the reason for the change.*

1. Provide surety information for Design-Build Entity:

Bonding Co./Surety:

Surety Agent:

Agent Address:

Phone Number:

1. List all other sureties (name and full address) that have written bonds for the Design-Build Entity during the last five years (immediately before the date of issuance of this RFQ). Include the periods during which each wrote the bonds.

|  |  |  |
| --- | --- | --- |
| **Surety** | **Address** | **Periods of Coverage** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

**–End of Part II–**

PART III: MINIMUM REQUIREMENTS FOR QUALIFICATION

This Part III is the first step in evaluating the DB Entity. It seeks information about various members of the Design-Build Team, and consists of questions that must be answered correctly or the DB Entity will be disqualified.

**NOTE: DB Entity will be immediately disqualified if the answer to any of questions 1 through 5 is “No”.**

1. Does the General Contractor possess a valid and current California Class “A” General Engineering Contractor’s License for this PROJECT for which the DB Entity intends to submit a proposal?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

1. Refer to the Section 7.3 of this RFQ regarding insurance requirements for this PROJECT. Is the DB Entity able to obtain (or has) insurance in the limits stated in Attachment C?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*Provide a notarized declaration from the Insurance Company or from the broker/agent stating that the DB Entity is able to obtain or has insurance in the limits stated in Attachment C for this PROJECT.*

1. Does the General Contractor and each proposed subcontractor have current workers’ compensation insurance coverage as required by the Labor Code or are legally self-insured pursuant to Labor Code section 3700 et. seq.?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

1. Is the DB Entity able to obtain performance and payment bonds for the PROJECT, which is expected to involve a construction contract cost as defined in Section 2.5.A of this RFQ?

Name of bonding company/surety: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of surety agent, address and telephone number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

*Provide a notarized statement from the Surety Company stating the amount of bonding currently available to the DB Entity for this estimated construction contract cost.*

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

1. Has the financial information required in PART VII: FINANCIAL CAPABILITY been provided?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*Note: Include the financial information in PART VII: FINANCIAL.*

**NOTE: DB Entity will be immediately disqualified if the answer to any of questions 6 through 12 are “Yes”.**

1. Has any contractor license held by the General Contractor or any member of the proposed DB Team been revoked or suspended without a successful appeal for reinstatement, within the last five (5) years (immediately before the issuance of this RFQ)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

1. Within the last five (5) year (immediately before the issuance of this RFQ), has a surety firm completed a contract or paid for completion of a contract on behalf of the General Contractor or any member of the DB Team?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

1. At the time of submitting this SOQ, is the General Contractor or any member of the DB Team ineligible to bid on or be awarded a public works contract with the DISTRICT or any other public agency, for any reason, including as a result of a voluntary settlement agreement?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

1. At the time of submitting this SOQ, is the General Contractor or any member of the DB Team ineligible to bid on or be awarded a public works contract pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

1. At any time during the last five (5) years (immediately before the issuance of this RFQ), has the General Contractor or any member of the DB Team or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

1. Has any professional license, credential or registration held by any Architect who will provide services been revoked or suspended at any time in the last five years (immediately before the issuance of this RFQ)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

1. Has any professional license, credential or registration held by any Engineer who will provide services been revoked or suspended at any time in the last five years (immediately before the issuance of this RFQ)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

**NOTE: DB Entity will be immediately disqualified if the answer to any of questions 13 through 16 are “No”.**

1. Do all Architects, lead Design Engineers, and the Principal Engineer who are expected to work on the PROJECT possess current California professional licenses for the services which they intend to provide?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

1. Pursuant to Public Contract Code Section 22164(c), the DB Entity and all subcontractors hereby agree to use a “skilled and trained workforce” to perform all work on the PROJECT that falls within an “apprenticeable occupation” in the building and construction trades.

|  |  |
| --- | --- |
|  | Yes, the DB Entity and all subcontractors will use a “skilled and trained workforce” |
|  | No |

1. Has the Principal Engineering Firm that will design the PROJECT, within the last 15 years before issuance of this RFQ, completed the design of at least three (3) water, wastewater, or advanced recycled water treatment plant projects (new or retrofit) in the United States with final project value of at least $35 million (in 2015 dollars)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

State the name of the projects below and list the projects in Part V: DB Entity and DB Team Experience:

*Refer to Part V for definition of “project value”. For the purpose of this question, the design work must be 100% complete and construction is either in progress or completed.*

1. Has the General Contractor that will construct the PROJECT, within the last 15 years before issuance of this RFQ, completed the construction of at least three (3) water, wastewater, or advanced recycled water treatment plant projects (new or retrofit) in the United States with final project value of at least $35 million (in 2015 dollars)?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

State the name of the projects below and list the projects in Part V: DB Entity and DB Team Experience:

*Refer to Part V for definition of “project value”. For the purpose of this question, the construction work is 100% complete and the project has passed the start-up, testing, and commissioning for all facility system components.*

**NOTE: For question 17, the DB Entity will be immediately disqualified if the three-year average EMR exceeds 1.0.**

1. Experience Modification Rate (EMR)
   1. Required EMR Rate for the General Contractor that has performed work in California:

List the General Contractor’s EMR (California workers’ compensation insurance) for each of the past three premium years; calculate the three-year average:

|  |  |  |
| --- | --- | --- |
|  | **Year** | **LIST EMR** |
| Most recent available year |  |  |
| Previous year |  |  |
| Year prior to previous year |  |  |
| Three-year average EMR: | |  |

* 1. Required EMR Rate for the General Contractor that has not performed work in California:

If your firm has not performed work in California during at least the three most recent years, you must list below your firm’s Interstate Experience Modification Rate for each of the past three premium years; calculate the three-year average. You must also attach to this submittal documentation clearly showing an Interstate Experience Modification Rate for each of the past three premium years.

*Note: Leave the following table empty if you have performed work in California during the three most recent years.*

|  |  |  |
| --- | --- | --- |
|  | **Year** | **LIST Interstate EMR** |
| Most recent available year |  |  |
| Previous year |  |  |
| Year prior to previous year |  |  |
| Three-year average EMR: | |  |

**NOTE for questions 18 through 20: The average total recordable injury and illness rate (also known as OSHA Incidence Rate) and average lost work rate (also known as the Lost Workday Incidence Rate) for the most recent three-year period must not exceed the applicable statistical standards for its business category. As an alternative, a DB Entity may be deemed to have an acceptable safety record in those categories if the DB Entity is a party to an alternative dispute resolution system as provided for in Section 3201.5 of the Labor Code. Should none of these requirements be met, then the DB Entity will be immediately disqualified.**

1. List the General Contractor’s total recordable injury/illness rate for each of the past three premium years, and include the applicable statistical standard for that year of the appropriate category; calculate the three-year average.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Year** | **Average total recordable injury/ illnesses** | **Applicable statistical standard for that year** | **Applicable business category (describe category)** |
| Most recent available year |  |  |  |  |
| Previous year |  |  |  |  |
| Year prior to previous year |  |  |  |  |
| Three-year average: | |  |  |  |

1. List the General Contractor’s lost work rate for each of the past three premium years, and include the applicable statistical standard for that year of the appropriate category; calculate the three-year average.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Year** | **Lost work rate** | **Applicable statistical standard for that year** | **Applicable business category (describe category)** |
| Most recent available year |  |  |  |  |
| Previous year |  |  |  |  |
| Year prior to previous year |  |  |  |  |
| Three-year average: | |  |  |  |

1. Is your firm a party to an alternative dispute resolution system as provided for in Section 3201.5 of the Labor Code?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” attach a separate page describing how your firm is a party to an alternative dispute resolution system.*

**–End of Part III–**

PART IV: MINIMUM QUALIFICATION REQUIREMENTS (SCORED QUESTIONS)

1. **SCORED QUESTIONS FOR THE GENERAL CONTRACTOR**

**Provide the following information about the General Contractor that will construct the PROJECT. If the General Contractor is itself the DB Entity, then provide all information requested as it relates to the DB Entity itself.**

Name of General Contractor: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

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

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | 10 years or more |  | 8 to 9 years |  | 6 to 7 years |  | 5 years or less |

**Note: Failure to provide a letter of explanation for a “Yes” answer to Questions A-2 and A-3 may result in immediate DB Entity disqualification.**

A-2. Is the General Contractor currently the debtor in a bankruptcy case?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

A-3. Was the General Contractor in bankruptcy at any time during the last five (5) years (immediately before the issuance of this RFQ)?

Note: This question refers *only* to a bankruptcy action that was *not* described in answer to question A-2, above.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

**Note: Failure to provide an explanation for “yes” answer to Questions A-4 to A-14 may result in immediate DB Entity disqualification.**

A-4. At any time in the last five (5) years (immediately before the issuance of this RFQ) has the General Contractor been assessed and paid liquidated damages of more than $50,000 on a construction contract with either a public or private owner?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

A-5. Has the General Contractor ever defaulted on a construction contract?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

A-6. In the last five (5) years (immediately before the issuance of this RFQ) has the General Contractor 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,” explain on a separate page. State the name of the organization debarred, the name of the person within your firm who was associated with that organization, the year of the event, the owner of the project, and the basis for the action.*

**\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\***

**NOTE: The following two questions refer only to disputes between contractors and owners of projects. You need not include information about disputes with suppliers, other contractors, or subcontractors. You need not include information about “pass- through” disputes in which the actual dispute is between a subcontractor and a project owner.**

A-7. In the past five (5) years (immediately before the issuance of this RFQ) has any claim, dispute or lawsuit in excess of $50,000 been **filed in court or arbitration against** the General Contractor concerning their work on a construction project?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” on a separate page 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).*

A-8. In the past five (5) years (immediately before the issuance of this RFQ) has the General Contractor made any claim, dispute or lawsuit in excess of $50,000 against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” on a separate page 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).*

A-9. At the time of submitting this SOQ, does the General Contractor or any first- or second-tier subcontractor or supplier anticipated to be utilized on this PROJECT by the General Contractor currently have an unresolved Stop Notice filed on any DISTRICT or other public agency projects?

|  |  |
| --- | --- |
|  | No |
|  | Yes, one unresolved Stop Notice |
|  | Yes, two or more unresolved Stop Notices |

*If “yes,” explain on a separate page. Identify the year of the event, the owner, the project and the detailed explanation for the stop notice.*

A-10. In the last five (5) years (immediately before the issuance of this RFQ) has any insurance carrier, or any form of insurance, refused to renew the insurance policy for the General Contractor due to non-payment or contractor losses?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” on a separate page provide the name of the insured, name the insurance carrier, the form of insurance and the year of the refusal.*

A-11. During the last five (5) years (immediately before the issuance of this RFQ), has the General Contractor ever been denied bond coverage by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

A-12. Has the General Contractor **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 private or public agency or entity?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” explain on a separate page, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date and the basis for the finding.*

A-13. Has the General Contractor **ever** been convicted of a crime involving any federal, state, or local law related to construction?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.*

A-14. Has the General Contractor ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” identify on a separate page the person or persons convicted, the year, the court (the county if a state court; the district or location of the federal court), the case number, the crimes, and the grounds for conviction.*

A-15. Has CAL OSHA or any other state OSHA agency cited and assessed penalties against the General Contractor for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five (5) years?

**NOTE: If General Contractor has filed an appeal of a citation, and the state’s Occupational Safety and Health Appeals Board has not yet ruled on the appeal, General Contractor need not include information about it.**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” attached a separate page describing all 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, and the amount of penalty paid, if any. If any 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.*

A-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the General Contractor in the past five (5) years (immediately before the issuance of this RFQ)?

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.*

A-17. Has the EPA, any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the General Contractor or the owner of a project on which the preceding parties were performing on a contract in the past five (5) years?

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

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.*

A-18. Do you require documented safety meetings to be held for construction employees and field supervisors during the course of a project? (*select one*)

|  |  |
| --- | --- |
|  | Yes, at least once a week |
|  | Yes, every two weeks |
|  | Yes, less than every two weeks |

A-19. Within the last five (5) years (immediately before the issuance of this RFQ) has there ever been a period when your firm had employees but was without workers’ compensation insurance or state-approved self-insurance?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

A-20. In the past five (5) years (immediately before the issuance of this RFQ) has the General Contractor been assessed any penalties and/or liquidated damaged in excess of $15,000 due to the failure to pay prevailing wage or failure to submit Certified Payroll Reports?

|  |  |
| --- | --- |
|  | No |
|  | Yes, one penalty has been assessed |
|  | Yes, two or more penalties have been assessed |

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

A-21. If the General Contractor operates its own State-approved apprenticeship program, **provide the following information on a separate page and insert in this Part IV**:

1. Identify the craft or crafts in which you provided apprenticeship training in the past year.
2. State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
3. State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

A-22. At any time during the last five years (immediately before the issuance of this RFQ), has the General Contractor been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” provide the date of the findings and attach a copy of the final decision.*

*Date of Findings*

(REMAINDER OF THIS PAGE INTENTIONALLY LEFT BLANK)

1. **SCORED QUESTIONS FOR THE PRINCIPAL ENGINEERING FIRM**

**Provide the following information about the Principal Engineering Firm (“Firm”) that will design the PROJECT. If the Principal Engineering Firm is itself the DB Entity, then provide all information requested as it relates to the DB Entity itself.**

Name of Principal Engineering Firm: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name of Principal Engineer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

B-1. How many years has the Principal Engineer been licensed and practicing in California?

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | 15 years or more |  | 10 to 14 years |  | Less than 10 years |  |  |

B-2. Is the Firm currently the debtor in a bankruptcy case?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

B-3. Was the Firm in bankruptcy at any time during the last five (5) years (immediately before the issuance of this RFQ)?

Note: This question refers *only* to a bankruptcy action that was *not* described in answer to question B-2, above.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

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

\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*\*

**Note: Failure to provide an explanation for “yes” answer to Questions B-4 to B-6 may result in immediate DB Entity disqualification.**

B-4. In the last five (5) years (immediately before the issuance of this RFQ) has the Principal Engineer or the Firm 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,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.*

B-5. In the past five (5) years (immediately before the issuance of this RFQ) has any claim, dispute or lawsuit in excess of $50,000 been **filed in court or arbitration against** the Principal Engineer or the Firm concerning its design work on a construction project?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” on a separate page 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).*

B-6. In the past five (5) years (immediately before the issuance of this RFQ) has the Principal Engineer or the Firm made any claim, dispute or lawsuit in excess of $50,000 against a project owner concerning its design work on a project or payment for a contract and **filed that claim in court or arbitration**?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” on a separate page 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).*

B-7. In the last five (5) years (immediately before the issuance of this RFQ) has any insurance carrier, or any form of insurance, refused to renew the insurance policy for the Principal Engineer or the Firm, based on non-payment or losses?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” on a separate page provide the name of the insured, name the insurance carrier, the form of insurance and the year of the refusal.*

B-8. Within the last five (5) years (immediately before the issuance of this RFQ) has there ever been a period when your firm had employees but was without workers’ compensation insurance or state-approved self-insurance?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” please explain the reason for the absence of workers’ compensation insurance on a separate page. If “No,” please provide a statement by your current workers’ compensation insurance carrier that verifies periods of workers’ compensation insurance coverage for the last five years.*

B-9. Has the Principal Engineer or the Firm 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 private or public agency or entity?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” explain on a separate page, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date and the basis for the finding.*

B-10. Has the Principal Engineer or the Firm **ever** been convicted of a crime involving any federal, state, or local law related to design?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.*

B-11. Has the Principal Engineer or the Firm **ever** been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” identify on a separate page the person or persons convicted, the year, the court (the county if a state court; the district or location of the federal court), the case number, the crimes, and the grounds for conviction.*

B-12. Has the California Department of Consumer Affairs, or an equivalent agency in any other state, taken any disciplinary action against the Principal Engineer?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Yes |  | No |  |  |

*If “yes,” please explain on a separate page.*

**–End of Part IV–**

PART V: DB ENTITY AND DB TEAM EXPERIENCE

The DB Entity shall submit all project experience information in accordance with the instructions that follow. Failure to meet the submittal or experience requirements listed below for submitted past projects will deem the DB Entity as disqualified.

Definitions:

* 1. “Completed Project” as used in this Part V means:
     + For the General Contractor, the construction work is 100% complete and the project has passed the start-up, testing, and commissioning for all facility system components.
     + For the Principal Engineering Firm and Other Design Firms, the project design work is complete and the construction is either in progress or completed.
  2. “Project Value” represents the individual project cost, inclusive of engineering design costs, construction costs including start-up, testing and commissioning, and post construction tasks such as initial operation support services or process optimization services.

1. **GENERAL CONTRACTOR’S CONSTRUCTION EXPERIENCE AND PRINCIPAL ENGINEERING FIRM’S DESIGN EXPERIENCE**

The DB Entity shall identify at least six (6) and no more than eight (8) completed projects by the General Contractor and the Principal Engineering Firm in the format prescribed by the **Project Data Sheets**, provided immediately following this Part. Any project beyond the eighth will not be read nor considered.

1. At least 3 of those projects must be attributed to the Principal Engineering Firm of the DB Team. However, only 3 of these projects will be considered for SOQ evaluation and scoring purposes. Respondent must identify in the SOQ which 3 projects that are attributable to the Principal Engineering Firm should be evaluated and scored by the Selection Committee.
2. At least 3 of those projects must be attributed to the General Contractor of the DB Team. However, only 3 of these projects will be considered for SOQ evaluation and scoring purposes. Respondent must identify in the SOQ which 3 projects that are attributable to the General Contractor should be evaluated and scored by the Selection Committee.
3. All dollar amounts referenced are in 2015 dollars. Respondents shall reference <http://www.bls.gov/data/inflation_calculator.htm> to convert prior yeas’ dollars to 2015 dollars. Show any calculations used.

Each of the reference projects must have been completed in the past 15 years (immediately before the issuance of this RFQ) and demonstrate the DB Entity’s experience with design and construction of water, wastewater, or advanced recycled water treatment plant projects (new or retrofit in the United States, and be over $35 million in Project Value in order for it to be qualified for SOQ evaluation and scoring purposes. The DB Entity’s attention is directed to Part III: Minimum Requirements for Qualification, Questions 15 and 16, for related minimum qualification requirements.

The SOQ must identify how the DB Entity held a prime role as the General Contractor, the Principal Engineering Firm, or both.

These reference projects shall demonstrate expert knowledge and experience in design and construction of water, waste water or advanced recycled water treatment facilities. Direct design and/or construction experience with advanced recycled water treatment plants (MF, RO, UV and/or advanced oxidation or similar treatment processes) is highly desirable. Experience with alternative project delivery methods (i.e., Design-Build, Progressive Design-Build, Design-Build-Operate, Construction Manager at Risk, etc.) is also highly desirable. In the reference projects, the DB Entity must demonstrate qualifications and experience relevant to the design and construction of this PROJECT.

The reference projects should indicate the extent of construction work that was self-performed, and the nature of the work that was self-performed. In addition, reference projects should describe the work that was subcontracted.

Each reference project should indicate the involvement and responsibilities of the Key Personnel of the DB Entity, highlighting project experience where the Key Personnel of the DB Entity have previously worked together. Refer to Part VI.B for a list of the Key Personnel proposed to be assigned to this PROJECT.

The DISTRICT’s assessment of project experience will also include, but are not limited to, reference checks from project owners. Names and references must be current and verifiable.

1. **OTHER DESIGN FIRMS**

For each of the Other Design Firms identified in Part I.B, if any, provide detailed design experience below.

The DB Entity shall identify at least one (1) and no more than two (2) completed design projects for each of the Other Design Firms, in the format prescribed by the **Project Data Sheets**, provided immediately following this Part.

Note that only reference projects from maximum two (2) Other Design Firms will be considered for evaluation and scoring purposes. If there are more than two (2) Other Design Firms listed in Attachment E Part I, Respondent must identify in the SOQ which two (2) Other Design Firms it wants to have their reference projects evaluated by the Selection Committee.

These reference projects shall demonstrate design experience applicable to the requirements for this PROJECT. Design and/or construction experience with advanced recycled water treatment plants (MF, RO, UV and/or advanced oxidation or similar treatment processes) is highly desirable.

To be eligible for evaluation and scoring purposes, reference projects must have been completed in the past 15 years (immediately before the issuance of this RFQ).

The DISTRICT’s assessment of design experience will also include, but are not limited to, reference checks from project owners. Names and references must be current and verifiable.

**PROJECT DATA SHEET #**

(One data sheet per PROJECT; number each sheet)

**NAME OF DESIGN-BUILD TEAM MEMBER**: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Provide a maximum of 3 pages per project. General format presented below shall be followed, beginning with summary information in the table, followed by responses to each requested statement in the order provided.

|  |  |
| --- | --- |
| Project Name:  Project Location: | |
| **Responsible Firm and Role** | *Name of firm 1:Role*  *Name of firm 2:Role* |
| **Key Personnel Title (Refer to Part VI.B)** | *Name of Key Personnel. Discuss roles and responsibilities (R&R).* |
| **Ditto** | *Ditto* |
| **Ditto** | *Ditto* |
| **Delivery Method** | *List project delivery method such as design-build, design- bid-build, design-build-operate, etc.* |
| **Scope of Services** | *Describe scope of services and/or construction work relative to all phases of project delivery* |
| **Facility Type and Capacity** | *Describe the primary treatment processes and equipment. Indicate facility capacity.* |
| **System Appurtenances** | *Describe accessory equipment, such as instrumentation and control system.* |
| **Original Contract Amount** | *Contract value at time of award and converted value in 2015 dollars* |
| **Final Contract Amount** | *Provide final contract value and converted value in 2015 dollars; briefly explain if final contract value varies from original contract value, and provide additional information below.* |
| **Scheduled Completion Date** | *Provide scheduled completion date at time of award* |
| **Actual Completion Date** | *Provide current status of project (in design, in construction, completed, completed and operating). Provide actual or projected completion date; briefly explain if actual or projected completion date differs from original scheduled completion date and provide additional information below.* |
| **Owner Reference** | *Provide owner contact name(s), agency, address, phone number, and e-mail address. The owner contact is the project manager or other person who you believe is best qualified to answer interview questions.* |

**Description of Project**

Provide narratives to describe objectives of the project, project description, size and capacity, primary treatment processes (i.e., biological active filtration, MF, RO, UV, etc.), and major challenges during design and construction.

**Relevancy to the PROJECT**

Describe how the project is applicable and relevant to the PROJECT in terms of project scope and size, project delivery method, technical requirements, regulatory and environmental requirements, and operations and maintenance requirements.

**Responsible Firms Role**

Describe specific role of responsible firms in the design and/or construction of the project. Describe team structure and management.

**Contract Amount, Change Orders**

Explain if the project was completed within the original construction contract amount. Describe differences of final contract amount compared to award amount. Identify/ describe cause such as owner-added scope, unforeseen conditions, design related issues, or other circumstances.

**Contract Schedule**

Explain the project schedule and schedule challenges. Explain reason for actual or projected completion date that differs from original scheduled completion date including approved time extensions.

For completed projects, provide following information with blanks filled in:

|  |  |  |
| --- | --- | --- |
| a. | Original Contract Completion Date: | \_\_\_\_\_\_\_\_\_\_\_ |
| b. | Time Extensions Granted (number of days): | \_\_\_\_\_\_\_\_\_\_\_ |
| c. | Contract End Date (c=a+b): | \_\_\_\_\_\_\_\_\_\_\_ |
| d. | Actual Date of Completion: | \_\_\_\_\_\_\_\_\_\_\_ |
| e. | Date of Recorded Notice of Completion: | \_\_\_\_\_\_\_\_\_\_\_ |

*Project Data Sheets for Other Design Firms may leave schedule information blank.*

**Claims and Liquidated Damages**

For this project, describe history of claims, disputes and litigation over $50,000 and how resolved. State if any liquidated damages were assessed; state if no liquidated damages were assessed.

**Self-Performance and Participation by DB Team Members**

For this project, describe the extent of self-performance by the General Contractor, and include a description of the work that was self-performed. In addition, describe participation by members of the DB Team’s Key Personnel and respective role(s).

**Permitting and Compliance**

Describe history of compliance with permit conditions.

**Design and Construction Management Techniques**

Explain design collaboration approach and project delivery strategy; provide overview of design and construction challenges and how those challenges were addressed; describe any innovative solutions employed.

**–End of Part V–**

PART VI: KEY PERSONNEL EXPERIENCE

1. **KEY PERSONNEL MATRIX**

The DB Entity shall provide a matrix similar to Table 1 below to identify and summarize the experience of all Key Personnel (i.e. personnel proposed to hold positions identified in Part VI.B below) proposed to be assigned to this PROJECT. This matrix shall include:

1. Name of the individual and name of firm.
2. The number of years of professional experience; water, wastewater, or advanced recycled water treatment facilities; design-build experience.
3. Role and responsibilities for this PROJECT.
4. Commitment of all Key Personnel (percentage of time) during each stage of this PROJECT.

**Table 1 – Summary Key Personnel Experience and Assigned PROJECT Responsibility**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | Project Experience in Years | | | *Indicate roles and responsibilities for Key Personnel assigned to this PROJECT in the space below* | *Indicate percent of time Key Personnel is assigned to this PROJECT in the space below* |
| Professional Experience | Water, Wastewater, Advanced Recycled Water Treatment Projects | Design-  Build Projects |
| Key Personnel Name and Firm Name |  |  |  |  |  |
| Ditto |  |  |  |  |  |
| Ditto |  |  |  |  |  |

1. **RESUMES AND KEY PERSONNEL PROJECT DATA SHEETS**

Provide resumes (limited to three pages each) of the following Key Personnel (indicate if any one person is proposed to carry more than one title):

1. Project Manager (having overall responsibilities for design and/or construction)
2. Principal Engineer (Engineer of Record, having primary responsibilities for Design Services under the Design-Build Contract)
3. Lead Design Engineer or Manager (if different from Item 2)
4. Lead Electrical Engineer
5. Lead Mechanical Engineer
6. Lead Process System Engineer
7. On-Site Project Manager (having responsibilities for PROJECT construction)
8. Project Superintendent (oversees day-to-day operations on the construction site)
9. Start-Up Manager (plans, coordinates and manages the start-up, testing, and commissioning for all elements and facilities constructed as part of the PROJECT)

The DB Entity’s proposed Project Manager, Principal Engineer, Lead Design Engineer, On-Site Project Manager, and Start-Up Manager for the PROJECT must each have at least ten (10) years of relevant professional experience and worked on a minimum of two (2) projects that are closely related or comparable to this PROJECT, and in the same role as proposed for this PROJECT. **Failure to meet the above minimum requirements for Key Personnel experience will deem the DB Entity as disqualified.**

In addition to the resumes required above, provide three (3) Key Personnel Project Data Sheets **each** for the DB Entity’s proposed Project Manager, Principal Engineer, Lead Design Engineer, On-Site Project Manager, and Start-Up Manager, within the format prescribed by the attached *Key Personnel Project Data Sheets*. Also provide one (1) Key Personnel Project Data Sheet each for all other remaining Key Personnel.

If the proposed Project Manager, Principal Engineer, Lead Design Engineer, On-Site Project Manager, and Start-Up Manager are the same as those listed in the Project Data Sheets submitted under PART V: DB ENTITY AND DB TEAM EXPERIENCE, then simply check the appropriate box on the Key Personnel Project Data Sheet that will identify the Project Data Sheet number. No further information will need to be submitted to score the proposed Project Manager, Principal Engineer, Lead Design Engineer, On-Site Project Manager, and Start-Up Manager. Only complete the Key Personnel Project Data Sheet if the proposed Project Manager, Principal Engineer, Lead Design Engineer, On-Site Project Manager, and Start-Up Manager are different than those projects submitted in PART V.

The DISTRICT’s assessment of Key Personnel’s project experience will also include, but are not limited to, reference checks from reference project owners.

1. **PROPOSED TEAM INTACT**

The DISTRICT considers the Key Personnel material to the success of the construction of the PROJECT. Pre-qualified DB Entities will be required to retain the Key Personnel proposed as part of this RFQ process on their proposals. Should any changes to Key Personnel be required, the DB Entity will be required to resubmit all applicable qualification documents and will be subject to a revised qualification score.

NOTE: The Design-Build Contract will include a provision requiring the Design-Builder to assign to the PROJECT the personnel identified in this RFQ.

(REMAINDER OF THIS PAGE INTENTIONALLY LEFT BLANK)

**KEY PERSONNEL PROJECT DATA SHEET #\_\_**

Submitted for:

**NAME: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**TITLE/ROLE: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

Select one:

|  |  |
| --- | --- |
|  | For position identified above, refer to Project Data Sheet #\_\_\_\_\_\_\_\_ (enter sheet #). No further information needs to be submitted. |
|  | This is a new Project Data Sheet submitted for the position identified above. All the data requested below is completed. |

|  |  |
| --- | --- |
| Project Name:  Project Location: | |
| **Responsible Firm and Role** | *Name of firm 1:Role*  *Name of firm 2:Role* |
| **Key Personnel Title (Refer to Part VI.B)** | *Name of Key Personnel. Discuss roles and responsibilities (R&R).* |
| **Ditto** | *Ditto* |
| **Ditto** | *Ditto* |
| **Delivery Method** | *List project delivery method such as design-build, design- bid-build, design-build-operate, etc.* |
| **Scope of Services** | *Describe scope of services and/or construction work relative to all phases of project delivery* |
| **Facility Type and Capacity** | *Describe the primary treatment processes and equipment. Indicate facility capacity.* |
| **System Appurtenances** | *Describe accessory equipment, such as instrumentation and control system.* |
| **Original Contract Amount** | *Contract value at time of award, and converted value in 2015 dollars* |
| **Final Contract Amount** | *Provide final contract value and converted value in 2015 dollars; briefly explain if final contract value varies from original contract value, and provide additional information below.* |
| **Scheduled Completion Date** | *Provide scheduled completion date at time of award* |
| **Actual Completion Date** | *Provide current status of project (in design, in construction, completed, completed and operating). Provide actual or projected completion date; briefly explain if actual or projected completion date differs from original scheduled completion date and provide additional information below.* |
| **Owner Reference** | *Provide owner contact name(s), agency, address, phone number, and e-mail address. The owner contact is the project manager or other person who you believe is best qualified to answer interview questions.* |

**–End of Part VI–**

PART VII: FINANCIAL CAPABILITY

1. **REPORTING ENTITIES**

The DB Entity shall provide financial information for each of the following entities in the DB Team (such entities, the “Reporting Entities”):

* The DB Entity
* The General Contractor
* The Principal Engineering Firm

1. **FINANCIAL INFORMATION**

DB Entity shall provide the following documents as part of the SOQ:

1. A copy of the DB Entity’s, General Contractor’s, and Principal Engineering Firm’s most recent Dunn and Bradstreet report. If such report is not available, please provide a statement to that effect in your response.
2. A copy of the DB Entity’s, General Contractor’s, and Principal Engineering Firm’s most recent long-term issuer credit rating report from Fitch, Moody’s and/or S&P. If such report is not available, please provide a statement to that effect in your response.
3. A copy of the DB Entity’s, General Contractor’s, and Principal Engineering Firm’s most recent audited financial statements for the past three (3) fiscal years (U.S. GAAP or IFRS basis), including the balance sheet, income statement, statement of cash flows, and notes to the financial statements. If neither of these standards is used, a letter must be provided from a certified public accountant discussing the areas of the financial statement that would be affected by a conversion to U.S. GAAP or IFRS.
4. A filled-in hardcopy and electronic copy of the Financial Capability Evaluation Template for each Reporting Entity identified in Part VII.A

The DB Entity shall download and fill in the Financial Capability Evaluation Template for each Reporting Entity identified in Part VII.A. An electronic copy of this Template is posted on the DISTRICT web site (<http://www.valleywater.org/Design-Build.aspx>). The hard copy of the Financial Capability Evaluation Template on the following page is included for reference only.

If the DB Entity is a partnership or joint venture (whether formed or intended to be formed), then all general partners or members shall complete the Financial Capability Evaluation Template.

**~~The financial information shall also be provided for the Project Guarantor, if a Guarantor is needed (see below).~~** ~~The financial information must be for the company(s) that makes up the DB Entity, not the parent company, unless the parent company is acting as the Guarantor.~~

1. **~~GUARANTOR~~**

~~The obligations under the DB Contract shall be irrevocably, absolutely and unconditionally guaranteed by an entity with a net worth of at least $240 million. If the DB Entity (or, collectively, general partners or members, as applicable) does not have such financial qualifications, a Project Guarantor will be required. If such a Guarantor is needed, a single Guarantor shall sign a Guaranty Agreement (to be developed) which will make them responsible for the DB Entity’s performance under the DB Contract. If applicable, the Guarantor shall be identified in Appendix 2 of Attachment E and provide the same financial information required in Section VII.B above.~~

**–End of Part VII–**

****

**–End of Part VII–**

PART VIII: ORGANIZATION AND MANAGEMENT APPROACH

1. **DESCRIPTION OF DESIGN-BUILD MANAGEMENT APPROACH**

Please include a narrative description of the Design-Builder’s management and organizational approach for accomplishing the PROJECT. The narrative description should describe the methodology for integrating the Design-Builder and the different areas of expertise within the team into an efficient and effective organization. The management approach must reflect an understanding of the use of the progressive design-build project delivery methodology for projects with scope and complexity comparable to this PROJECT.

The narrative description shall also provide a brief description of the significant functional relationships among participants outlined in the organization chart below and how the proposed organization will function as an integrated Design-Build Team.

This description, along with the organization chart(s), shall be limited to no more than ten pages.

1. **ORGANIZATIONAL CHART(S)**

Include organization chart(s) for the Design-Builder showing the flow of the “chain of command” with lines identifying participants who are responsible for performing the major functions to be performed, and their reporting relationships, in managing, designing and constructing the PROJECT.

Provide Stage 1 and Stage 2 organizational charts showing the reporting relationships and responsibilities of the Design-Builder and any other firms, and describe the Design-Builder’s approach to the management of such firms.

Provide Stage 1 and Stage 2 organizational charts showing the reporting relationships and responsibilities of all Key Personnel (along with their firm affiliations) and briefly describe on a separate sheet the Design-Builder’s approach to the management of such Key Personnel.

**–End of Part VIII–**

APPENDIX 1: SOQ TRANSMITTAL FORM

**CERTIFICATION:**

The undersigned is/are a legally authorized representative(s) of the DB Entity, and hereby declare that I am/ we are submitting this Statement of Qualifications; I am/we are duly authorized to sign this Statement of Qualifications on behalf of the above named firm; and I/we have read all the answers herein and know all of their contents and that all information set forth in this Statement of Qualifications and all attachments hereto are, to the best of my/our knowledge, true, accurate and complete as of its submission date.

The undersigned acknowledges receipt of the RFQ and the following addenda:

**Addenda No. Date**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

The undersigned certifies and declares under penalty of perjury under the laws of the State of California, that the foregoing is true and correct and that this declaration was executed in

County, California, on .

(Date)

**DB ENTITY SIGNATURE(S):**

Note: the DB Entity shall be the entity that will execute the Design-Build Contract. No Statement of Qualifications shall be accepted which has not been signed in ink in the appropriate space below:

1. If Respondent is an **INDIVIDUAL**, sign here (include a notarized affidavit attesting to the authenticity of said signature):

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Respondent’s Typed Name and Title:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. If Respondent is a **PARTNERSHIP** or **JOINT VENTURE**, all general Partners or members shall sign here (include a notarized affidavit attesting to the authenticity of said signatures):

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Partnership/JV Name (type or print)

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Member/Partner of the Partnership

Member/Partner’s Typed Name and Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Member/Partner of the Partnership

Member/Partner’s Typed Name and Title: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. If Respondent is a **CORPORATION**, the duly authorized officer (s) shall sign as follows:

The undersigned certify that they are respectively:

|  |  |  |
| --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | and | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Title |  | Title |

of the corporation named below; that they are designated to sign this SOQ Transmittal Form by resolution (*attach a certified copy, with corporate seal, if applicable, notarized as to its authenticity or Secretary's certificate of authorization*) for and on behalf of the below named CORPORATION, and that they are authorized to execute same for and on behalf of said CORPORATION:

|  |  |  |  |
| --- | --- | --- | --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| Corporation Name (type or print) | | | |
| By: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Date: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ | |
| Title: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |
| By: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Date: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ | |
| Title: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | |

1. If Respondent is an **OTHER legal entity**, an authorized representative of the entity shall sign here (include a notarized affidavit attesting to the authenticity of said signatures):

|  |  |  |  |
| --- | --- | --- | --- |
| Entity Name: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |  |
| By: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Date: | \_\_\_\_\_\_\_\_\_\_\_\_ |
| Title: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |

1. If the DB Entity is a firm that has not yet been formed, all entities and other parties proposed to comprise such DB Entity shall sign here (include a notarized affidavit attesting to the authenticity of said signatures), the individual signatories making the certification described above on behalf of such entities/parties:

|  |
| --- |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Proposed DB Entity Name (type or print) |

|  |  |  |  |
| --- | --- | --- | --- |
| Signature: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Date: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  | On Behalf of Proposed Member/Partner Name (type or print) | | |
|  | Signatory for Proposed Member/Partner’s Typed Name and Title: | | |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |
|  |  | | |
|  |  | | |

|  |  |  |  |
| --- | --- | --- | --- |
| Signature: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Date: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  | On Behalf of Proposed Member/Partner Name (type or print) | | |
|  | Signatory for Proposed Member/Partner’s Typed Name and Title: | | |
|  | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | |

**– End of Appendix 1 –**

~~APPENDIX 2: PROJECT GUARANTOR ACKNOWLEDGEMENT FORM~~

*~~(Required only if applicable)~~*

~~(to be typed on Guarantor's Letterhead; letter to be notarized)~~

~~Santa Clara Valley Water District~~

~~Attn.: Ms. Beth Redmond~~

~~5750 Almaden Expressway~~

~~San Jose, CA 95118-3686~~

~~SUBJECT: Silicon Valley Water Purification Center Expansion Project—Guarantor Acknowledgement~~

~~Dear Ms. Redmond:~~

~~\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(“the Respondent”) has submitted herewith a Statement of Qualifications in response to the Request for Qualifications for the Silicon Valley Water Purification Center Expansion Project (“PROJECT”) issued by the Santa Clara Valley Water District (“DISTRICT”) on January 15, 2016, as amended, pursuant to which it is seeking to be qualified by the DISTRICT to deliver the PROJECT described in the Request for Qualifications.~~

~~The Guarantor hereby certifies that, subject to mutual agreement of the terms and conditions of the forthcoming Design-Build Contract and Guaranty Agreement, it will irrevocably, absolutely and unconditionally guarantee the performance of all of the Respondent’s obligations in the event the Respondent is selected for negotiation and execution of the Design-Build Contract by the DISTRICT.~~

~~\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_~~

~~Name of Guarantor~~

~~\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_~~

~~Name of Authorized Signatory~~

~~\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_~~

~~Signature~~

~~\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_~~

~~Title~~