



SMUD

SACRAMENTO MUNICIPAL UTILITY DISTRICT
The Power To Do More.SM

P.O. Box 15830, Sacramento, CA 95852-1830; 1-888-742-SMUD (7683)

Prepared By

SUPPLY CHAIN SERVICES

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**REQUEST FOR QUALIFICATIONS, INSTRUCTIONS TO BIDDERS, PROJECT
DESCRIPTION, AND PRE-QUALIFICATION FORMS**

**REQUEST FOR QUALIFICATIONS NO. 090198.JS
DESIGN-BUILD SERVICES
FOR THE NEW CORPORATE YARD**

* * *

MANDATORY ATTENDANCE

PRE-BID CONFERENCE

Tuesday

November 3, 2009

9:00 A. M.

* * *

Proposals are due at **2:00 P.M.**, Local Time, **Tuesday, December 15, 2009**, c/o Supply Chain Services Office, in the SMUD Headquarters Building Lobby at 6201 S Street, Sacramento, California.

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1. REQUEST FOR QUALIFICATIONS

The Sacramento Municipal Utility District, hereinafter referred to as “SMUD”, is soliciting Pre-Qualifications (Proposals) for **DESIGN-BUILD SERVICES FOR THE NEW CORPORATE YARD.**

This Request for Qualifications provides instructions for submitting proposals and establishes the process under which SMUD will evaluate and rank the proposers. The top four to six ranked Design-Build Entities shall have the opportunity to submit a lump sum bid for the project.

1.1. GENERAL INFORMATION:

The following information is provided for quick reference and the convenience of the Design-Build Entities participating in this process. The specific submittal information required and the process to be followed are presented in detail.

Project: Design, engineering, and construction of the new Corporate Yard for the Sacramento Municipal Utility District.

Pre-Proposal Conference: Tuesday, November 3, 2009
Sacramento Municipal Utility District
6201 S Street
Sacramento, CA 95817

Responses Due: On or before 2:00 P.M., PST, on
Tuesday, December 15, 2009,
Late submittals will not be accepted.

Submittal Location: Submittals will be received by Sacramento Municipal Utility District at the following address only:
Sacramento Municipal Utility District
C/o Supply Chain Services Office, in the Headquarters Bldg. Lobby
6201 S Street
Sacramento, CA 95817

Questions: Inquiries during this pre-qualification process shall be directed only by fax and email, and only to Johnny Smothers: (fax 916 / 732-5601, jsmothe@smud.org).

SACRAMENTO MUNICIPAL UTILITY DISTRICT

By: ”Signed”
Name: Greg “Augie” Augst
Title: Manager, General Services
Date: 10-16-2009

2. INSTRUCTIONS TO BIDDERS

2.1. PURPOSE

The Sacramento Municipal Utility District, hereinafter referred to as SMUD, is soliciting Pre-Qualification Documents (Proposals) for **DESIGN/BUILD SERVICES FOR THE NEW CORPORATE YARD**.

This Request for Qualifications provides instructions for submitting proposals and establishes the process under which SMUD will evaluate and rank the proposers. The top four to six ranked Design-Build Entities shall have the opportunity to submit a lump sum bid for the project.

This process consists of two parts:

Part 1 - Pre-qualification and Ranking of Design-Build Entities through this RFQ process, leading to a listing of pre-qualified Design-Build Entities accepted to participate in Part 2.

Part 2 – Invitation For Bids, (IFB) issued to the top four to six ranked Design-Build Entities, with final selection and contract award made to the lowest responsive bidder.

2.2. BACKGROUND AND OVERVIEW

SMUD is a publicly owned utility providing electrical power service to the greater Sacramento area. The majority of SMUD's labor force is located at SMUD-owned facilities located along S Street between 59th and 65th Street, at the 59th Street Service Yard, and at the Folsom Boulevard site in Sacramento, California.

The existing corporate yard located at 1708 59th Street (referred to as the "Corporate Yard") is restricted in size and is bounded by development that does not offer room for potential future needs. Growth of the Sacramento area, and SMUD's commitment to customer service, has caused the current facility to become impacted. SMUD will construct a new corporate yard to meet its current and future needs for SMUD operations.

SMUD has appointed **Glenn Shuder as Program Director** for the Corporate Yard Project (the "Project") and SMUD has contracted with Parsons Commercial Technology Group, Inc. of Sacramento CA ("Parsons") to provide project management services for the length of the Project. This team will be the primary contact between SMUD and the Design-Build Entity. Although various SMUD employees and Parsons Team members will interface with the Design-Build Entity during the course of the contract, Mr. Shuder will be the principal SMUD contact authorized to give specific direction to the Design-Build Entity.

2.3. SUBMISSION REQUIREMENTS

It is mandatory to fully complete this request for qualification package and provide all information and documents requested herein, including the pre-qualification questionnaire, with accompanying statement of qualifications, notes and supplemental information. All of the information will be utilized as the basis of ranking the Design-Build Entities. There are three (3) parts to this RFQ selection process; first is the Pass/Fail section, second is the scored part, third is Final interview of the highest ranked firms. SMUD reserves the right to check other sources available. SMUD

decisions will be based on objective evaluation criteria and interviews in order to establish the Ranking of Design-Build Entities.

SMUD reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on subsequently learned information.

Each questionnaire must be signed under penalty of perjury in the manner designated at the end of the form, by all members of the Design-Build Entity. If any information provided by a Design-Build Entity becomes inaccurate, the Design-Build Entity must immediately notify SMUD and provide updated accurate information in writing, under penalty of perjury.

SMUD reserves the right to waive minor irregularities and omissions in the information contained in any submitted pre-qualification questionnaire, and to make all final determinations.

2.4. WHAT IS A DESIGN-BUILD ENTITY AND WHO IS BEING PRE-QUALIFIED

A Design-Build Entity is defined as: “a corporation, limited partnership or other association that is able to provide appropriately licensed contracting, architectural, and engineering services as needed pursuant to a Design-Build contract.”

This definition allows General Contractor wide latitude in the composition of its Design-Build Entity. The contractor may have all necessary design and construction capabilities “in house” or the contractor may subcontract for these services. This pre-qualification questionnaire seeks information about the contractor and design professionals that comprise the “Design-Build Entity”, whether all of these services are provided solely by the contractor “in house”, or whether some of these services are subcontracted. All Design-Build Entity members must sign the pre-qualification questionnaire.

Architects:

The pre-qualification questionnaire asks questions about the “Architect of Record”, the firm the Architect of Record works for, and other known Architects who will be working on the project. The Architect of Record in this document refers to the architect whose stamp will appear on project documents.

Engineers:

In addition, the pre-qualification questionnaire asks questions about the “Principal Engineers.” Who the “Principal Engineers” are will be dictated by the nature of the project. In this case they are Civil, Structural, Mechanical, and Electrical. The Design-Build Entity should make sure that information is provided about all relevant engineers to the project.

2.5. TIME AND MANNER OF SUBMISSION

Proposals shall be submitted to and received by SMUD's Supply Chain Services office no later **2:00 p.m., Local Time, on Tuesday, December 15, 2009.**

Proposals must be enclosed in a sealed envelope marked "Confidential" and addressed as follows:

By Overnight / Or Hand Delivery:
Sacramento Municipal Utility District
c/o Supply Chain Services Office
Attention: Johnny Smothers (MS B204)
Request for Qualifications No. 090198.JS

6201 S Street
Sacramento, CA 95817-1899

The proposal-mailing envelope must be clearly marked as a proposal responding to SMUD Request for Qualifications No. 090198.JS: **ATTENTION: Johnny Smothers**. The envelope shall also show the Design-Build Entity name and address.

Each proposal shall give the full business address of each of the firms that make up the Design-Build Entity and shall be signed by an authorized official of each of the firms within the entity. The name of each person signing the proposal shall be typed or printed below the signature. When requested by SMUD, satisfactory evidence of the authority of the person signing on behalf of the Bidder shall be furnished.

All proposals submitted become the property of SMUD.

2.6. EXPLANATIONS TO BIDDERS

Should the Bidder find discrepancies in or omissions from this document, or should the intent or meaning appear to the Bidder to be obscure or ambiguous, the Bidder should immediately send SMUD a written request for interpretation, clarification or correction thereof before submitting a proposal. The Bidder making such a request will be solely responsible for the timely receipt of the written request by SMUD. Replies to such inquiries will be made only in the form of addenda to this Request for Qualifications, and will be issued simultaneously to all business firms or persons who have obtained a copy of the Request for Qualifications from SMUD. Verbal requests for information during the period of proposal preparation are not acceptable in advance of the proposal opening date. Direct all communications regarding questions on this Request for Qualifications prior to the due date to the attention of Johnny Smothers at the fax number or e-mail address below.

The deadline for submitting communications or questions is 2:00 P.M., Local Time, Tuesday, November 17, 2009.

CONTACT	CONTRACTUAL	TECHNICAL	SUPPLIER DIVERSITY
Contact Name	Johnny Smothers	Glenn Shuder	Lori Okamoto
Phone number	(916) 732-5617	(916) 732-5565	(916) 732-5984
FAX number	(916) 732-5601	N/A	N/A
E-Mail Address	jsmothe@smud.org	N/A	N/A

SMUD will not be bound by any oral interpretation of the RFQ, which may be made by any of its representatives or employees, unless such interpretations are subsequently issued in the form of an addendum to this Request for Qualifications.

2.7. WITHDRAWAL OR MODIFICATION OF PROPOSALS

Proposals may be modified or withdrawn only by a written request received by SMUD prior to the Request for Qualifications due date.

2.8. REVISIONS AND SUPPLEMENTS

If it becomes necessary to revise or supplement any part of this Request for Qualifications an addendum will be provided. Receipt of an addendum to this Request for Qualifications by a Bidder must be acknowledged by signing and submitting the addendum signature sheet as part of the Bidder's submittal.

2.9. PRE-PROPOSAL CONFERENCE

A **mandatory** Pre-Proposal Conference is scheduled for **9:00 a.m., on Tuesday, November 3, 2009** at SMUD's Headquarters Building located at 6201 S Street, Sacramento, California.

Note: All Design-Build Entities that intend to submit a proposal for this Request For Qualifications shall attend the scheduled Pre-Proposal Conference. Design-Build Entities that do not attend the Pre-Proposal Conference will not be eligible to submit a proposal.

To find the conference registration link on our website, follow these steps:

- Visit www.bids.smud.org
- Logon
- Click "Browse and View Solicitations"
- Click "Search For Solicitations"
- Use the search tools to find your solicitation.
- Click the solicitation's link.
- Click the "Register to attend" button.

2.10. PROPOSAL EVALUATION AND SELECTION PROCESS

The proposals submitted in response to this solicitation shall be evaluated and ranked. The top four to six ranked Design-Build Entities (DBEs) shall have the opportunity to participate in the IFB.

The Bidders shall be required to pass this qualification phase to be considered for the IFB phase for the New Corporate Yard.

SMUD may request additional information from any or all Bidders after the initial evaluation of the proposals to clarify the submitted information.

SMUD reserves the right to reject any or all of the proposals and to waive any irregularities

2.11. APPEAL PROCEDURE

SMUD will furnish all Bidders a written Notice of Determination. After receipt of such Notice of Determination, any unsuccessful Bidder may request the reason(s) their proposal was not selected within the top four to six ranked Design-Build Entities. In the event a Bidder elects to protest SMUD's selection, the protest must be submitted in writing to SMUD's Manager, General Services, within five (5) business days of the Notice of Determination. SMUD's Contract Award and Protest Policy is available upon written request to the General Services Department / Supply Chain Services, Attention: JOHNNY SMOTHERS.

2.12. QUALIFICATIONS OF BIDDERS

SMUD expressly reserves the right to reject any Bid if it determines that the business and technical organization, equipment, financial and other resources, or experience of the Bidder, compared to the work proposed justifies such rejection.

Bidders must be licensed under Chapter 9 of Division 3 of the Business and Professions Code of the State of California.

2.13. PROPOSAL PREPARATION COSTS

The costs of developing this Request for Qualification submittal document are entirely the responsibility of the Bidder and shall not be charged in any manner to SMUD.

2.14. CONFLICTS

If conflicts exist between the final contract after the Invitation for Bids has been submitted and accepted and the other elements of this Request for Qualification, the final contract prevails. If conflict exists within the contract itself, the Terms and Conditions govern, followed by Scope of Services. If conflict exists between the contract and applicable Federal or State law, rule, regulation, order, or code; the law, rule, regulation, order or code shall control. Varying levels of control between the Terms and Conditions, drawings and documents, laws, rules, regulations, orders, or codes are not deemed conflicts, and the most stringent requirement(s) shall control.

2.15. NON EXCLUSIVE AGREEMENT

This Request for Qualifications does NOT establish an exclusive arrangement between SMUD and the Bidder. SMUD reserves, among others, the following rights:

- The right to use others to perform work and services described in this Request for Qualifications.

- The right to request proposals from other contractors for work described in the Request for Qualifications without requesting a proposal from the Contractor.
- The unrestricted right to bid any work or services described herein.

2.16. NOTICE RELATED TO PROPRIETARY/CONFIDENTIAL DATA

Bidders are advised that the California Public Records Act (the “Act”, Government Code §§ 6250 et seq.) provides that any person may inspect or be provided a copy of any identifiable public record or document that is not exempted from disclosure by the express provisions of the Act. Each Bidder shall clearly identify any information within its submission that it intends to ask SMUD to withhold as exempt under the Act. Any information contained in a Bidder’s submission which the Bidder believes qualifies for exemption from public disclosure as “proprietary” or “confidential” must be identified as such at the time of first submission of the Bidder’s response to this RFQ. A failure to identify information contained in a Bidder’s submission to this RFQ as “proprietary” or “confidential” shall constitute a waiver of Bidder’s right to object to the release of such information upon request under the Act. SMUD favors full and open disclosure of all such records. SMUD will not expend public funds defending claims for access to, inspection of, or to be provided copies of any such records.

2.17. SUPPLIER EDUCATION & ECONOMIC DEVELOPMENT (SEED) PROGRAM

2.17.1 POLICY STATEMENT

The Sacramento Municipal Utility District (SMUD) is committed to achieving full and equal contracting opportunity for ratepayers doing business with SMUD. SMUD recognizes the economic benefit provided by its contracting activity and has adopted this policy to promote the economic development of its ratepayer businesses. This program will provide direct economic benefit to SMUD’s customer-owners, and will complement other SMUD economic development programs.

2.17.2 REQUIREMENTS AND PROGRAM ELEMENTS

A description of SMUD’s Supplier Education & Economic Development Program is included in this Request for Qualifications. Bidders must comply with all the requirements specified in the program description.

2.17.3 OVERVIEW

SMUD’s SEED Program creates contracting opportunities for local small businesses. To qualify, a business must be certified as a Small Business or Micro-business by the state Department of General Services (DGS) and must be a SMUD ratepayer for the past six months at the DGS certification address of record. Additional features are described below.

2.17.4 PROGRAM GOALS AND INCENTIVES

SMUD promotes a goal of 20% SEED participation in SMUD contracts. To achieve this, SMUD has established the following program for this Request for Qualifications:

1. Bidders achieving 20% or more SEED participation shall achieve a price advantage of 5% of the lowest responsible bid amount up to a maximum advantage amount of \$2,000,000. For evaluation and selection purposes, the price advantage (5% of their total bid amount) shall be subtracted from the bidder's bid amount.
2. Bidders proposing less than 20% SEED subcontracting will receive a price advantage of 5% of the total value of all their SEED subcontracting amounts up to a maximum advantage amount of \$2,000,000. For evaluation and selection purposes, the price advantage amount shall be subtracted from the bidder's bid amount.

2.17.5 SEED PROGRAM QUALIFICATION

Vendors must meet both of the following qualifications to participate in the SEED Program:

1. Certification- the California Department of General Services (DGS), Office of Small Business and DVBE certification must certify the vendor as a Small Business or Micro-business. This is the only certification accepted by SMUD. Sub-contractors, vendors, and/or suppliers must be certified by the bid-opening date (IFBs), to qualify for the SEED Program. It is anticipated that the bid date is mid March 2010.
2. Ratepayer Qualification- the vendor must qualify as a SMUD ratepayer for the preceding 6 months prior to the bid due date. This will be based on the physical address of the business as recorded by the Department of General Services in its Small Business certification record. As a general rule this will be the address shown on the DGS Small Business certificate. SMUD will make a qualification determination where the address shown on the Small Business certificate is a post office box, other mail receiving only address or a leased facility where utilities are included in the lease agreement.

2.17.6 LOCAL CONTRACTORS

SMUD encourages the use of local contractors on this project. A "Local Contractor" shall mean a business which performs a commercially useful function and has fixed offices or distribution points within the counties of Sacramento, El Dorado, Yolo, or Placer. The Local Contractor shall possess a valid business license from a city or county within the referenced areas and must have been located and doing business in those areas for the preceding 6 months prior to the bid due date.

2.17.7 CONTRACT COMPLIANCE

SMUD may conduct post-award monitoring of any contract, which includes SEED participation. Contractors are required to maintain certified payroll reports by the contractor and all subcontractors, regardless of contract amount. SMUD may require the contractor to provide other related documentation to verify SEED participation equal to or greater than the participation levels stated at the time of award.

2.17.8 FALSIFICATION OF INFORMATION

Falsification of information on the forms required by this solicitation may cause SMUD to cancel any existing contracts with the Proposer/vendor and may disqualify the vendor from contracting with SMUD in the future.

A firm claiming SEED/ratepayer status under false pretenses will be disqualified from doing business with SMUD for a period of not less than one year and not more than five years unless SMUD's General Manager determines that the offending firm should be permanently barred from bidding on a SMUD contract. False pretenses include designating SEED subcontractors for scopes of work that they will not fully perform, using SEED firms as a "pass-through" to inflate actual participation, or any other action that subverts SMUD's intended benefits to SEED participation. SMUD may seek all legal remedies available under the law against such Proposers.

2.17.9 ADDITIONAL INFORMATION

SMUD's Supplier Diversity Unit is responsible for the administration of the SEED Program. The Supplier Diversity Unit is available during regular SMUD business hours, to provide all SEED Program participants with additional information resources to encourage participation in the SEED Program. The Supplier Diversity Unit can be contacted by telephone at (916) 732-5984. In addition, SMUD publishes current procurement opportunities and program information on its Internet website at www.bids.SMUD.org.

2.18. ENVIRONMENTAL PROCUREMENT

SMUD has adopted an Environmental Protection Policy in which it commits to environmental stewardship, the conservation of natural resources, reductions in the use of hazardous substances, reductions in mobile sources of NOx emissions, and recycling and responsible disposal. SMUD will promote environmental procurement practices that will minimize environmental impacts, conserve natural resources, and reward environmentally conscious manufacturers and contractors, while remaining fiscally responsive. To further its policy SMUD will favor environmentally preferable procurements when price, quality and availability are equal. To this end, SMUD will endeavor to reward environmentally conscious manufacturers, suppliers and contractors with contracting opportunities that address these policy goals in addition to providing SMUD and its customer-owners fiscally responsible procurement options.

2.19. SAFETY PROGRAM

The personal safety and health of the general public, SMUD employees, and Contractor employees is of paramount importance. The Design-Build Entity shall be required to follow all safety requirements and applicable laws.

All Bidders shall execute and submit with their Proposal the form titled, "Safety Compliance Certificate". Submittal of this completed form shall be in addition to the information requested in this Request for Qualification.

Such certification shall be made by the person with the authority and responsibility for implementing and administering Bidder's Injury and Illness Prevention Program.

2.20. INDEMNIFICATION REQUIREMENTS

SMUD's Invitation For Bid will include the below general provision as part of SMUD's standard general provisions.

The Contractor shall indemnify, defend and hold harmless SMUD, its directors, representatives, agents, and employees against all claims, loss, damage, expense and liability asserted or incurred by others parties, including, but not limited to, SMUD's employees and Contractor's employees, arising out of or in any way connected with the performance of this Contract and excepting only such loss, damage or liability as may be caused by the sole negligence, willful misconduct, or active negligence of SMUD.

2.21. GENERAL CONTRACT CONDITIONS

SMUD's contract will be attached in the Contract section of the Invitation for Bid that will be issued to the Short List of firms that will continue on to the Bid Phase of this process. SMUD will reject Bids that contain exceptions to the Terms and Conditions included in the contract.

2.21.1 GENERAL CONTRACT CONDITIONS

All construction contracts for the Corporation Yard Project will be subject to various contract conditions described herein. These conditions are for information only. They are intended to provide the Contractor with a preview of what to expect. These conditions include standard SMUD conditions as well as conditions that will be imposed on the project by the California Energy Commission and other outside agencies. These conditions do not constitute a complete list.

2.21.2 PROJECT LABOR AGREEMENT

SMUD will execute a Union Project Labor Agreement (PLA) for the construction portion of this Project in which the Design-Build Entity will be signatory. The PLA will be included in the IFB (Part 2)

2.21.3 FIXED PRICE PROPOSAL

The IFB (Part 2) will request Fixed Price Bids for this Project.

3. PROJECT DESCRIPTION

3.1. PROJECT INFORMATION

This project will relocate current corporate yard functions into a new yard. The major components of the project include but are not limited to the following and are subject to change based upon the final program criteria that is currently being established and will be made available to the qualified Design-Build Entities (DBEs) as part of the IFB.

Leadership in Energy and Environmental Design (LEED) Green Building Rating System™: LEED encourages and accelerates global adoption of sustainable green building and development practices through the creation and implementation of universally understood and accepted tools and performance criteria. **This Project is being designed as a LEED project, with a goal of Platinum Certification.**

Site: Project to be located on land owned by SMUD located at the southeast corner of Bradshaw and Keifer Boulevards. The site, approximately 50 acres and was previously excavated for gravel. Fill for part of the site will be brought in under a separate agreement and placed according to the design developed in the bridging documents.

Energy Goals: The Project will be designed and constructed to achieve net ZERO energy usage. The site energy usage must be offset, on an annual basis, energy produced on the site from renewable energy sources. Examples of renewable energy sources are photovoltaic, wind, and biomass. Separate energy power purchase agreements will be allowed.

Bridging Documents: Bridging documents shall be provided to the top four to six ranked Design/Build Entities to utilize for bidding the Project. The Bridging documents shall represent a Schematic Design level (approximately 30% complete).

Administrative Office/Conference/Training: A 5-story office building of approximately 150,000 sf to house office functions, a 24/7 distribution control room, crew reporting space, conference spaces, training rooms, food court area, medical services, and support space including locker and showers for line crews and related functions required for an office environment.

Vehicle Maintenance: A 40,000 sf facility with service bays for large and small fleet vehicles, including offices, support space, shops, welding area, body shop, fabrication area, and storage space for tires and vehicle parts.

Shops /Tool Issue Building: A 46,000 sf facility to repair electronic equipment, switchgear, meters, that includes large and small bays, bench space and layout areas, with enclosed storage, office and an exterior protected space, with tool/storage room for issuance of operational tools area for testing of equipment, calibration lab, storage rooms, and office and support space for the various functions.

Warehouse/Tool Issue Building: A 44,000 sf warehouse facility.

Transformer Repair / Salvage: A 15,000 sf facility to repair large and small transformers and space for storage and process of waste generated on and off site and an area to recycle our yard and field waste brought in by line crews and internal functions.

Fuel Island/Wash station: a fueling island pumping station to handle large and small vehicles, for non-leaded gas and diesel fuel and an area to wash SMUD vehicles that come in from the field.

Covered Storage Area: an exterior covered storage space to provide protection for required line and power generation materials and equipment.

Open Storage: a large open air facility to store power poles; large and small equipment that is used on our distribution system; ground material for new material and spoils from sub sites; and vegetation waste from line clearances.

Fleet Parking/Circulation: a parking area for approximately 560 fleet vehicles, including circulation space that range in size from small trailers to pick-up trucks to large line truck spaces, and specialized multipurpose vehicles and equipment.

Employee/Visitor Parking: parking and circulation space for approximately 700 employees and visitor parking to meet the county ordinance.

3.2. PROJECT SCHEDULE:

The following schedule has been established for conducting the procurement process and subsequent activities. SMUD reserves the right to modify this schedule at any time prior to award of a contract in response to this RFQ and the IFB.

Part 1 - Issue RFQ	October 19, 2009
Mandatory Pre-Proposal Conference	November 3, 2009
Deadline for Questions	November 17, 2009
Receive Proposals	December 15, 2009
Part 1 Interviews	January 2010
Pre-qualified firms identified	February 2010
Part 2 – Issue IFB	February 2010
Mandatory Pre-Bid Conference	February 2010
Receive & Open Bids	May 2010
Board approval to award Design-Build contract	June 2010
Issue Notice to Proceed	June 2010
Complete Project not later than	September 2013

3.3. SMUD PROVIDED ITEMS AND SERVICES

SMUD will provide or accomplish the following to the top four to six highest ranked entities:

1. Issue IFB documents.
2. Bridging Documents designed to a Schematic Design level (approximately 30% complete) consisting of written goals, site and floor plans, and technical specifications.

4. QUALIFICATIONS EVALUATION CRITERIA

The Statements of Qualifications submitted in response to this Request for Qualifications shall be evaluated based on the following criteria and scoring.

A minimum score of 630 points for the Subtotal (900 available) is required to be considered for an interview.

The ranking of the Design-Build Entity will be based on the total scores of each individual section of the RFQ Package.

The highest ranked firms will be interviewed at their places of business.

Item	Criteria Description	Points Available
5.4	PREQUALIFICATION INFORMATION	(INFORMATION ONLY)
5.5	DESIGN-BUILD ENTITY	(PASS/FAIL)
	5.5.1 General Pass/Fail Questions	(PASS/FAIL)
5.6	SCORED QUESTIONS DESIGN-BUILD ENTITY	As itemized Below
	5.6.1 Design-Build Experience	20
	5.6.2 Organization And Management Approach	20
	5.6.3 Design Experience	20
	5.6.4 Construction Experience	20
	5.6.5 Qualifications of Key Personnel	20
	5.6.6 Seed Participation	100
5.7	SCORED QUESTIONS (GENERAL/ARCHITECT/ENGINEERS)	As itemized Below
	5.7.1 Questions For The General Contractor (GC)	200
	5.7.2 Questions For The Architect (A)	100
	5.7.3 Questions For The Civil Engineer (CE)	100
	5.7.4 Questions For The Structural Engineer (SE)	100
	5.7.5 Questions For The Mechanical Engineer (ME)	100
	5.7.6 Questions For The Electrical Engineer (EE)	100
	Subtotal	900
5.8	PART 1 INTERVIEWS	100
	FINAL SCORE	1000

5. APPENDIX A—PRE-QUALIFICATION SUBMITTAL DOCUMENTS

5.1. SPECIFIC REQUIREMENTS FOR SUBMITTAL

Each Statement of Qualifications shall be in 8½” x 11”, double-sided, vertical format, consisting only of the specified materials requested below. Foldout 11” x 17” pages are acceptable. **Submit five (5) copies of the proposal in hard copy and one (1) in electronic (on CD) format.** Provide each bound document, in a soft cover, comb binder, a loose-leaf, three-ring, hard cover binder, or equivalent and easily removable from any binding – E.G. no glued or spiral binding.

To be responsive, each Statement of Qualifications must include the following materials in the order specified:

5.2. EXECUTIVE SUMMARY COVER LETTER

An officer or authorized representative of the Design-Build Entity submitting the Statement of Qualifications shall sign the cover letter which shall provide a maximum two-page synopsis of the submittal highlighting how your team meets the minimum requirements of the RFQ.

5.3. CERTIFICATION OF PREQUALIFICATION SUBMITTAL DOCUMENTS

NOTE: All members of the Design-Build Entity must sign.
(Copy this certification page for each legal entity.)

I, the undersigned _____, certify and declare that I have read all the foregoing answers to this Pre-Qualification Submittal Documents and Questionnaire; that all responses are correct and complete of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that the foregoing is true and correct.

Signed:
Print Name:
Place of Execution:
Date:
Design-Build Entity Member:

5.4. PREQUALIFICATION INFORMATION

5.4.1 PRE-QUALIFICATION QUESTIONNAIRE (INFORMATION ONLY)

Design-Build Entity Member(s) (List all legal entities being pre-qualified.)		
Discipline (i.e. general contractor, architect, engineer, electrical contractor, etc.)	Name	Legal Entity (i.e. corporation, partnership, sole proprietor)

For all partnerships or other associations listed above that are not legal entities, please provide a copy of the agreement creating the partnership or association.

5.4.2 INFORMATION ABOUT THE GENERAL CONTRACTOR

1. Name of General Contractor:
2. Date of company formation or incorporation:
3. State of formation or incorporation:
4. How many persons does the General Contractor currently employ?
5. (a) If the General Contractor is a corporation, provide the following:

Provide information for each officer of the corporation and owners of 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

(b) If the General Contractor is a sole proprietorship, please complete the following:

Owner	Years as Owner

(c) If the General Contractor is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Joint-Venture or Partnership: If the Design-Build Entity is a joint-venture or partnership, the arrangement must be in place prior to the date of the submittal of the Statement of Qualifications. Provide a copy of the agreement creating the joint-venture or partnership.

(Insert additional rows if necessary)

Name of Individual /Or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the General Contractor during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

☐ YES ☒ NO

If “yes,” explain below.

Response:

7. Is the General Contractor a subsidiary, parent, holding company or affiliate of another 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 below.

Response:

8. State the General Contractor’s gross revenues for each of the last three years:

YEAR: _____	YEAR: _____	YEAR: _____
\$ _____	\$ _____	\$ _____

9. List all California contractor license numbers, classifications and expiration dates currently held by the General Contractor:

License Number	Trade Classification	Date Issued	Expiration Date

10. Has the General Contractor changed names or license numbers in the past five years?

☐ YES ☐ NO

If “yes,” explain below.

Response:

11. Has any owner, Contractors State Licensing Board (CSLB) qualifier or corporate officer of the General Contractor operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

☐ YES ☐ NO

If “yes,” explain below.

Response:

12. Surety Information for General Contractor:

Bonding Co./Surety: Bond Rating: Surety Agent: Agent Address: Telephone No.:

13. List all other sureties (name and full address) that have written bonds for the General Contractor during the last five years, including periods during which each wrote the bonds:

Surety	Address	Periods of Coverage

5.4.3 INFORMATION ABOUT THE ARCHITECT

Definitions:

- “Architect of Record” shall mean the Architect whose stamp will appear on project documents.

A-1. If the Architect of Record's firm is different from that of the General Contractor, please answer the following:

1(a) Date of company formation or incorporation:

1(b) State of formation or incorporation:

1(c) How many persons does the Architect's firm currently employ?

1(d) If the Architect's firm is a corporation, provide the following information for each officer of the corporation and owners of 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

1(e) If the Architect is a sole proprietorship, complete the following:

Owner	Years as Owner

1(f) If the Architect's firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

(Insert additional rows if necessary)

Name of Individual /Or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

- 1(g) Has there been any change in ownership of the Architect's firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

☐ YES ☐ NO

If "yes," explain below

Response:

- 1(h) Is the Architect's firm a subsidiary, parent, holding company or affiliate of another 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 below.

Response:

- 1(i) Has any corporate officer or owner of the Architect's firm, worked for any other architectural firms in the past five years?

(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 below.

Response:

- 1(j). Has the Architect's firm changed names in the past five years?

☐ YES ☐ NO

If "yes," explain below including reason for change.

Response:

- A-2. Provide the following information for all known Architects who will be designing the project: (Attach additional pages if necessary)

Architect	License Number	Years in Practice

- A-3. Insert a copy of the Architect of Record's resume.

5.4.4 INFORMATION ABOUT THE CIVIL ENGINEER**Definitions:**

“Civil Engineer” shall mean the Principal Civil Engineer whose stamp will appear on project documents.

The nature of the project will dictate the discipline(s) of the Engineer(s). The Design-Build Entity should make sure to pre-qualify all relevant engineers to the project. Attach copies if necessary.

CE-1. Provide the following information for the Principal Civil Engineer:

1(a) Name of Principal Civil Engineer :

1(b) License number of Principal Civil Engineer :

1(c) Years in Practice:

CE-2. If the firm of the Principal Civil Engineer is different from that of the General Contractor or Architect of Record, please answer the following:

2(a) Date of company formation or incorporation:

2(b) State of formation or incorporation:

2(c) How many persons does the Principal Civil Engineer's firm currently employ?:

2(d) If the Principal Civil Engineer's firm is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

2(e) If the Principal Civil Engineer is a sole proprietorship, complete the following:

Owner	Years as Owner

- 2(f) If the Principal Civil Engineer's firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual /or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

- 2(g) Has there been any change in ownership of the Principal Civil Engineer's firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

☐ YES ☐ NO

If "yes," explain below.

Response:

- 2(h) Is the Principal Civil Engineer's firm a subsidiary, parent, holding company or affiliate of another 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 below.

Response:

- 2(i) Has any corporate officer or owner of the Principal Civil Engineer's firm worked for any other engineering firms in the past five years?

(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 below.

Response:

2(j) Has the Principal Civil Engineer’s firm changed names in the past five years?

☐ YES ☐ NO

If “yes,” explain on below including reason for change.

Response:

CE-3. Insert a copy of the Principal Civil Engineer’s resume.

5.4.5 INFORMATION ABOUT THE STRUCTURAL ENGINEERS**Definitions:**

- “Structural Engineer” shall mean the Principal Structural Engineer whose stamp will appear on project documents.

The nature of the project will dictate the discipline(s) of the Engineer(s). The Design-Build Entity should make sure to pre-qualify all relevant engineers to the project. Attach copies if necessary.

SE-1. Provide the following information for the Civil Engineer:

- 1(a) Name of Principal Structural Engineer:
- 1(b) License number of Principal Structural Engineer:
- 1(c) Years in Practice:

SE-2. If the firm of the Principal Engineer is different from that of the General Contractor or Architect of Record, please answer the following:

- 2(a) Date of company formation or incorporation:
- 2(b) State of formation or incorporation:
- 2(c) How many persons does the Principal Structural Engineer’s firm currently employ?:
- 2(d) If the Principal Structural Engineer’s firm is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

2(e) If the Structural Engineer is a sole proprietorship, complete the following:

Owner	Years as Owner

- 2(f) If the Principal Structural Engineer's firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual /or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

- 2(g) Has there been any change in ownership of the Principal Structural Engineer's firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

☐ YES ☐ NO

If "yes," explain on a separate page.

Response:

- 2(h) Is the Principal Structural Engineer's firm a subsidiary, parent, holding company or affiliate of another 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 below.

Response:

- 2(i) Has any corporate officer or owner of the Principal Structural Engineer's firm worked for any other engineering firms in the past five years?

(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 below.

Response:

2(j) Has the Principal Structural Engineer’s firm changed names in the past five years?

☐ YES ☐ NO

If “yes,” explain below including reason for change.

Response:

SE-3. Insert a copy of the Principal Structural Engineer’s resume.

5.4.6 INFORMATION ABOUT THE MECHANICAL ENGINEERS**Definitions:**

- “Mechanical Engineer” shall mean the Principal Mechanical Engineer whose stamp will appear on project documents.

The nature of the project will dictate the discipline(s) of the Engineer(s). The Design-Build Entity should make sure to pre-qualify all relevant engineers to the project. Attach copies if necessary.

ME-1. Provide the following information for the Principal Mechanical Engineer:

- 1(a) Name of Principal Mechanical Engineer:
- 1(b) License number of Principal Mechanical Engineer:
- 1(c) Years in Practice:

ME-2. If the firm of the Principal Mechanical Engineer is different from that of the General Contractor or Architect of Record, please answer the following:

- 2(a) Date of company formation or incorporation:
- 2(b) State of formation or incorporation:
- 2(c) How many persons does the Principal Mechanical Engineer's firm currently employ?:
- 2(d) If the Principal Mechanical Engineer's firm is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

- 2(e) If the Principal Mechanical Engineer is a sole proprietorship, complete the following:

Owner	Years as Owner

- 2(f) If the Principal Mechanical Engineer's firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual /or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

- 2(g) Has there been any change in ownership of the Principal Mechanical Engineer's firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

☐ YES ☐ NO

If "yes," explain below.

Response:

- 2(h) Is the Principal Mechanical Engineer's firm a subsidiary, parent, holding company or affiliate of another 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 below.

Response:

- 2(i) Has any corporate officer or owner of the Principal Mechanical Engineer's firm worked for any other engineering firms in the past five years?

(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 below.

Response:

2(j) Has the Principal Mechanical Engineer’s firm changed names in the past five years?

☐ YES ☐ NO

If “yes,” explain below including reason for change.

Response:

ME-3. Insert a copy of the Principal Mechanical Engineer’s resume.

5.4.7 INFORMATION ABOUT THE ELECTRICAL ENGINEERS**Definitions:**

- “Electrical Engineer” shall mean the Principal Electrical Engineer whose stamp will appear on project documents.

The nature of the project will dictate the discipline(s) of the Engineer(s). The Design-Build Entity should make sure to pre-qualify all relevant engineers to the project. Attach copies if necessary.

EE-1. Provide the following information for the Principal Electrical Engineer:

- 1(a) Name of Principal Electrical Engineer:
- 1(b) License number of Principal Electrical Engineer:
- 1(c) Years in Practice:

EE-2. If the firm of the Principal Electrical Engineer is different from that of the General Contractor or Architect of Record, please answer the following:

- 2(a) Date of company formation or incorporation:
- 2(b) State of formation or incorporation:
- 2(c) How many persons does the Principal Electrical Engineer’s firm currently employ?:
- 2(d) If the Principal Electrical Engineer’s firm is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

2(e) If the Principal Electrical Engineer is a sole proprietorship, complete the following:

Owner	Years as Owner

- 2(f) If the Principal Electrical Engineer's firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual /or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

- 2(g) Has there been any change in ownership of the Principal Electrical Engineer's firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

☐ YES ☐ NO

If "yes," explain below.

Response:

- 2(h) Is the Principal Electrical Engineer's firm a subsidiary, parent, holding company or affiliate of another 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 below.

Response:

- 2(i) Has any corporate officer or owner of the Principal Electrical Engineer's firm worked for any other engineering firms in the past five years?

(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 below.

Response:

2(j) Has the Principal Electrical Engineer’s firm changed names in the past five years?

☐ YES ☐ NO

If “yes,” explain below including reason for change.

Response:

EE-3. Insert a copy of the Principal Electrical Engineer’s resume.

5.5. DESIGN-BUILD ENTITY (PASS/FAIL)

Definitions:

The term “Associates” shall mean all of the following:

The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.

- All current officers of a contractor which is a corporation.
- All current partners of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking prequalification.

PASS/FAIL Scoring:

The **Design-Build Entity** must answer each of these questions correctly in order to have their submittals reviewed further. If the Design-Build Entity is unable to correctly answer each of these questions, it will be disqualified regardless of the results of the scored questions.

Refer to Section 6.1 for more details.

5.5.1 General Pass/Fail Questions

DB-1. Does the General Contractor and each proposed Subcontractor possess a current California contractor's license for the project for which it intends to submit a proposal?

☐ YES ☐ NO

DB-2. Does the General Contractor have or be willing to obtain and maintain Commercial General Liability insurance with policy limits of at least \$25,000,000 per occurrence and in aggregate from an insurer rated no less than A-/ VIII by AM Best?

☐ YES ☐ NO

If yes, insert a copy of your Certificate of Insurance here or proposal to provide from insurance company.

DB-3. Does the General Contractor and each proposed Subcontractor have current workers' compensation insurance policies as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq.?

☐ YES ☐ NO

If yes, insert a copy of each of your Certificates of Insurance in the fields provide below if applicable:

General Contractor

- DB-4. Has the latest copy of an **audited financial statement** (no more than two years old) with accompanying notes been attached for the General Contractor? (An audited financial statement with accompanying notes of a parent company guarantor may be substituted. A financial statement that is not audited is not acceptable. A letter verifying availability of a line of credit is also required and included.)

☐ YES ☐ NO

Attach the financial; statement at the end of the forms submittal section of this request for qualifications document

- DB-5. Has a **notarized statement from an admitted surety insurer** (approved by the California Department of Insurance) and authorized to issue bonds in the State of California been attached, which states that the General Contractor's current bonding capacity for 100% of the estimated contract value (i.e. \$80,000,000) for which you seek pre-qualification?

☐ YES ☐ NO

Attach the notarized statement from the surety at the end of the forms submittal section of this request for qualifications document

- DB-6. Has any contractor license held by the General Contractor or its associates or any of the proposed Subcontractors or their associates, been revoked or suspended within the last five (5) years?

☐ YES ☐ NO

- DB-7. Has a surety firm completed a contract or paid for completion of a contract on behalf of any member of the Design-Build Entity because they were terminated by the project owner within the last five (5) years?

☐ YES ☐ NO

- DB-8. Within the last five years was the General Contractor or any proposed Subcontractor declared ineligible to bid on a public works contract, to be awarded a public works contract, or to perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

☐ YES ☐ NO

- DB-9. Has any member of the Design-Build Entity (contractors, architects, engineers or others) or any member's associates, ever been convicted of a crime involving the awarding of a contract for a government project, or the bidding or performance of a government contract within the last five (5) years?

☐ YES ☐ NO

- DB-10. Do all Architects and Engineers who are expected to work on the project possess current California professional licenses for the services which they intend to provide?

☐ YES ☐ NO

- DB-11. Does the Design-Build Entity have or be willing to obtain and maintain a professional E&O (Project Policy) with limits of \$10,000,000 per occurrence and in aggregate covering acts of all professional service providers for a maximum period of ten years, issued by an insurer rated no less than A-/VIII by AM Best?

☐ YES ☐ NO

If yes, insert a copy of your Certificate of Insurance here or proposal to provide from insurance company.

- DB-12. Has any professional license held by any Architect who will provide services been revoked at any time in the last five years?

☐ YES ☐ NO

- DB-13. Has any professional license held by any Engineer who will provide services been revoked at any time in the last five years?

☐ YES ☐ NO

- DB-14. Does the General Contractor and each proposed Subcontractor seeking prequalification, know and understand their obligations regarding the employment of apprentices on public works under Labor Code section 1777.5 and California Code of Regulations, Title 8, section 230.1, and do they intend to comply with these requirements, including the requirement, if applicable, to request the dispatch of apprentices from an apprenticeship program approved by the California Apprenticeship Council?

☐ YES ☐ NO

5.6. SCORED QUESTIONS DESIGN-BUILD ENTITY

5.6.1 DESIGN-BUILD ENTITY EXPERIENCE

Entities should clearly indicate their qualifications in the following areas:

Organization: Responses to the Request for Qualifications must propose a design and construction entity comprised of professionals capable of providing all required services. For construction services, the Design-Build Entity will be required to qualify in accordance with pre-qualification criteria established in this Request for Qualifications document including experience, financial capability, bonding capacity and the ability to undertake a project of the scale and magnitude of the Project proposed. For design and engineering services, the Design-Build Entity must also qualify and provide requested information.

1. Experience as a Design-Build Entity and experience in Design-Build project delivery.

Response:

2. Major project experience including design and construction involving public buildings.

Response:

3. Prior experience working in a collaborative relationship with architects/engineers on projects of similar scope, scale, and complexity.

Response:

4. Design-Build experience with other types of projects.

Response:

5.6.2 ORGANIZATION AND MANAGEMENT APPROACH

Entities should clearly indicate their qualifications in the following areas:

1. Provide an organization chart indicating clear lines of authority and the responsibilities of each component of the Design-Build Entity and all key staff members.

Response:

2. Local Office: Identify the primary office(s) where the work will be performed at or from.

Response:

3. Availability of full-time representatives of the Design-Build Entity personnel throughout the duration of the Project.

Response:

4. Submit a statement presenting your approach to this Project, entity organization, and management authority. Discuss your strategy to implement this project successfully, including overall management, controls, scheduling, quality staffing, safety, and closeout procedures.

Response:

5.6.3 DESIGN EXPERIENCE

Entities should clearly indicate their qualifications in the following areas:

1. Demonstrate ability to effectively interpret and implement designs without compromise to budget, schedule, technical requirements, or SMUD standards and guidelines. Submit relevant project design experience for four projects, and no more than four projects, to be a maximum two-page narrative description. The narrative description shall include the owner's name and contact information, type of facility, location, total gross square feet, total construction cost, dates of start and completion, the firm's responsibility, project delivery method, the contract type, staff members who would be assigned to this project, and a brief statement indicating the relevance of this project to SMUD's corporate yard project.

Response:

2. Experience of design and engineering component working on Design-Build projects.

Response:

3. Experience with Building Information Modeling (BIM).

Response:

4. Experience working with SMUD or other public agencies.

Response:

5. Green Building experience LEED projects (Goal of Gold certification).

Response:

6. Experience on corporate yards.

Response:

7. Experience with on site power generation / power purchase agreements.

Response:

5.6.4 CONSTRUCTION EXPERIENCE

Entities should clearly indicate their construction qualifications in the following areas:

1. Projects implemented utilizing Design-Build methodology for public or institutional clients. Submit relevant project construction experience for four projects, and no more than four projects, to be a maximum two page narrative description. Provide relevant project construction experience and information including the owner's name and contact information, location, year completed, square footage, construction and overall costs, the firm's responsibility, project delivery method, and the contract type, for projects completed since 1998 that include the following: (The same project can represent the different requirements.)

Response:

2. Experience with Building Information Modeling (BIM).

Response:

3. Experience working with SMUD or other public agencies.

Response:

4. Green Building experience LEED projects (Goal of Gold certification).

Response:

5. Experience working under a Project Labor Agreement.

Response:

6. Experience on corporate yards.

Response:

7. Experience with on site power generation / power purchase agreements.

Response:

5.6.5 QUALIFICATIONS OF KEY PERSONNEL

Entities should clearly indicate their key personnel qualifications in the following areas:

Submit names and qualification of up to ten (10) key professionals who are anticipated to be assigned to this project and contribute a significant effort. Personnel shall include proposed project manager(s), lead architect, lead engineers, construction managers, quality control managers, and superintendents. Indicate their present assignments, availability for this project, and the location they are now assigned to. Indicate each individual's proposed degree of responsibility, authority, and level of involvement on this Project.

This is not intended to prevent the addition or substitution of other qualified entity members for good cause, and only with SMUD prior approval at a later date.

Response:

5.6.6 SEED PARTICIPATION

A total of one hundred (100) evaluation points will be awarded to Design/Build Teams that can demonstrate that they will award 20% or more participation of the total contracted work to qualified SEED participants. Design/Build Teams shall provide a detailed description of how they plan to maximize SEED participation to achieve the goals of SMUD to promote SEED participation in this project. Proposers shall indicate what actions, methods, and/or processes they will employ to meet this goal.

5.7. SCORED QUESTIONS (GENERAL/ARCHITECT/ENGINEERS)**5.7.1 SCORED QUESTIONS FOR THE GENERAL CONTRACTOR****Definitions:**

The term “Associates” shall mean all of the following:

The current qualifiers for all current Contractors State License Board contracting licenses held by the contractor.

- All current officers of a contractor which is a corporation.
- All current partners of a contractor which is a partnership.
- All current joint venturers of the joint venture contractor which is seeking prequalification.

GC-1. How many years has the General Contractor been licensed in California?

Years:

GC-2. Is the General Contractor or its associates currently the debtor in a bankruptcy case?

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
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GC-3. Was the General Contractor or its associates in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question GC-2, above)

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
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GC-4. At any time in the last five years has the General Contractor or its associates been assessed liquidated damages of more than \$50,000 on a construction contract with either a public or private owner?

☐ YES ☐ NO

If yes, explain below, identifying all such projects by owner, owner’s address, name of entity against whom assessment was made, 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.

Response:

GC-5. Has the General Contractor or its associates ever defaulted on a construction contract?

☐ YES ☐ NO

If “yes,” explain below.

Response:

GC-6. In the last five years has the General Contractor or its associates, 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 below. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

Response:

GC-7. Has the General Contractor or its associates ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

☐ YES ☐ NO

If “yes,” identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency below.

Response:

(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.)

GC-8. In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the General Contractor or its associates concerning their work on a construction project?

☐ YES ☐ NO

If “yes,” identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature

of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution) below.

- GC-9. In the past five years has the General Contractor or its associates made any claim 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,” identify the claim by providing the name of claimant, 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution) below.

Response:

- GC-10. In the last five years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the General Contractor or its associates due to non-payment or contractor losses?

☐ YES ☐ NO

If “yes,” give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal below.

Response:

- GC-11. Has the General Contractor or its associates ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any public entity?

☐ YES ☐ NO

If “yes,” explain below, 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.

Response:

- GC-12. Has the General Contractor or its associates ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ YES ☐ NO

If “yes,” explain below, 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.

Response:

- GC-13. Has the General Contractor or its associates ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ YES ☐ NO

If “yes,” identify the person or persons convicted, the court and case number, the crimes, and the year convicted below.

Response:

- GC-14. During the last five years, has there ever been a period of time when the General Contractor or its associates had no surety bond in place during a public construction project when one was required?

☐ YES ☐ NO

If “yes,” indicate the period during which no surety bonds were in place, name of entity without the surety bond, the name of project owner, and if coverage was denied, the date coverage was denied and the name of the company that denied coverage below.

Response:

- GC-15. Has CAL OSHA cited and assessed penalties against the General Contractor or its associates for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five years?

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

☐ YES ☐ NO

If “yes,” 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 OSHA decision below.

Response:

- GC-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the General Contractor or its associates in the past five years?

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

☐ YES ☐ NO

If “yes,” 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 below. State the case number and date of any decision below.

Response:

- GC-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 its associates or the owner of a project during the time in which the preceding parties were performing on a contract in the past five years?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

☐ YES ☐ NO

If “yes,” 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 below. State the case number and date of any decision below.

Response:

- GC-18. How often does the General Contractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

Response:

- GC-19. List the General Contractor’s Experience Modification Rate (EMR) (California workers’ compensation insurance) for each of the past three premium years:

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

Year: EMR:

Year: EMR:

Year: EMR:

If your EMR for any of these three years is 1.00 or higher you may provide a letter of explanation below.

Response:

- GC-20. Within the last five years has there ever been a period when the General Contractor or its associates 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 below.

Response:

If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the General Contractor for the last five years below. (If the General Contractor has been in 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 business.)

Response:

- GC-21. Has there been more than one occasion during the last five years in which the General Contractor or its associates was required to pay either back wages or penalties for failure to comply with the state's prevailing wage laws?

☐ YES ☐ NO

If "yes," describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed, the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed below.

Response:

- GC-22. During the last five years, has there been more than one occasion in which the General Contractor or its associates have been penalized or required to pay back wages for failure to comply with the Federal Davis-Bacon prevailing wage requirements?

☐ YES ☐ NO

If "yes," describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed below.

Response:

GC-23. If the General Contractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

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

Response:

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

Response:

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

Response:

GC-24. At any time during the last five years, has the General Contractor or its associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

☐ YES ☐ NO

If "yes," provide the date of the findings and attach a copy of the final decision.

Date of Findings:

Response:

GC-25. Do agreements exist between the General Contractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices in the preceding five years, for all apprenticeship crafts which may be employed by the General Contractor on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticeship craft within the period of October, 1999 to October, 2001.)

☐ YES ☐ NO

Response:

GC-26. Has the General Contractor built utility / public projects in the last 5 years?

☐ YES ☐ NO

If “yes,” how many?

Please fill in the following blanks based on the General Contractor’s attached financial statement:

Response:

Current Assets: \$

Current Liabilities: \$

GC-27. Total Net Worth: \$ (Current Assets – Current Liabilities)

GC-28. Current Ratio (Assets/Liabilities):

GC-29. Working Capital (Available Cash + Credit): \$

5.7.2 SCORED QUESTIONS FOR THE ARCHITECT OF RECORD**Definitions:**

- “Architect of Record” shall mean the Architect whose stamp will appear on project documents.
- “Firm” shall mean the firm which employs the Architect of Record whether it is the General Contractor, a separate Architectural firm, or other firm.

Name of Architect of Record: Name of Firm:

A-1. How many years has the Architect of Record been licensed and practicing in California?

Years Licensed: Years Practicing in CA:

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

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
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A-3. Was the firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question A-2, above)

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
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A-4. In the last five years has the Architect of Record 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 below. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

Response:

- A-5. Has the Architect of Record or the firm ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

☐ YES ☐ NO

If “yes,” identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency below.

Response:

- A-6. In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Architect of Record or the firm concerning its architectural work on a project?

☐ YES ☐ NO

If “yes,” 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 and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution) below.

Response:

- A-7. In the past five years has the Architect of Record or the firm, made any claim in excess of \$50,000 against a project owner concerning its architectural work on a project and filed that claim in court or arbitration?

☐ YES ☐ NO

If “yes,” 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution) below.

Response:

- A-8. In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Architect of Record or the firm, based on non-payment or losses?

☐ YES ☐ NO

If “yes,” give name the insurance carrier, the form of insurance and the year of the refusal below.

Response:

- A-9. Has the Architect of Record 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 public agency or entity?

☐ YES ☐ NO

If “yes,” identify who was involved, the name of the public agency, the date of the investigation and the grounds for the finding below.

Response:

- A-10. Has the Architect of Record or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ YES ☐ NO

If “yes,” identify 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 below.

Response:

- A-11. Has the Architect of Record 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 the person or persons convicted, the court and case number, the crimes and the year convicted below.

Response:

- A-12. Has the Architect of Record designed utility / public projects in the last 5 years?

☐ YES ☐ NO

If “yes,” how many?

Response:

- A-13. Has the Department of Consumer Affairs taken any disciplinary action against the Architect of Record?

☐ YES ☐ NO

If yes, please explain below.

Response:

5.7.3 SCORED QUESTIONS FOR THE CIVIL ENGINEER**Definitions:**

- “Firm” shall mean the firm that employs the Principal Civil Engineer, whether it is the General Contractor, a separate engineering firm, or other firm.

The nature of the project will dictate the discipline(s) of the Principal Engineer(s). The Design-Build Entity should make sure to pre-qualify all relevant Principal Engineers to the project. Attach additional copies as necessary for each Principal Engineer.

Name of Principal Civil Engineer:

Name of Firm:

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

Years Licensed:

Years Practicing in CA:

CE-2. Is the firm currently the debtor in a bankruptcy case?

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
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CE-3. Was the firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question CE-2, above)

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
-------------	------------------	------------

CE-4. In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Principal Civil Engineer or the firm concerning its engineering work on a project?

☐ YES ☐ NO

If “yes,” 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 and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

Response:

- CE-5. In the last five years has the Principal Civil 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 below. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

Response:

- CE-6. Has the Principal Civil Engineer or the firm ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

☐ YES ☐ NO

If “yes,” identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency below.

Response:

- CE-7. In the past five years has the Principal Civil Engineer or the firm made any claim in excess of \$50,000 against a project owner concerning engineering work on a project and filed that claim in court or arbitration?

☐ YES ☐ NO

If “yes,” 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution) below.

Response:

- CE-8. In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Principal Engineer or the firm based on non-payment or losses?

☐ YES ☐ NO

If “yes,” give name the insurance carrier, the form of insurance and the year of the refusal below.

Response:

- CE-9. Has the Principal Civil 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 public agency or entity?

☐ YES ☐ NO

If “yes,” identify who was found liable or convicted, the name of the public agency, the court and case number, the date of the investigation and the grounds for the finding below.

Response:

- CE-10. Has the Principal Civil Engineer or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ YES ☐ NO

If “yes,” identify 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 below.

Response:

- CE-11. Has the Principal Civil 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 who was convicted, the court and case number, the crimes and the year convicted below.

Response:

- CE-12. Has the Principal Civil Engineer designed utility / public projects in the last 5 years?

☐ YES ☐ NO

If “yes,” how many?

- CE-13. Has the Department of Consumer Affairs taken any disciplinary action against the Principal Civil Engineer?

☐ YES ☐ NO

If “yes,” please explain below.

Response:

5.7.4 SCORED QUESTIONS FOR THE STRUCTURAL ENGINEER**Definitions:**

- “Firm” shall mean the firm that employs the Principal Structural Engineer, whether it is the General Contractor, a separate engineering firm, or other firm.

The nature of the project will dictate the discipline(s) of the Principal Engineer(s). The Design-Build Entity should make sure to pre-qualify all relevant Principal Engineers to the project. Attach additional copies as necessary for each Principal Engineer.

Name of Principal Structural Engineer:

Name of Firm:

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

Years Licensed:

Years Practicing in CA:

SE-2. Is the firm currently the debtor in a bankruptcy case?

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
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SE-3. Was the firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question SE-2, above)

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
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SE-4. In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Principal Engineer or the firm concerning its engineering work on a project?

☐ YES ☐ NO

If “yes,” 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 and case number, and a

brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

Response:

- SE-5. In the last five years has the Principal Structural 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 below. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

Response:

- SE-6. Has the Principal Structural Engineer or the firm ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

☐ YES ☐ NO

If “yes,” identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency below.

Response:

- SE-7. In the past five years has the Principal Structural Engineer or the firm made any claim in excess of \$50,000 against a project owner concerning engineering work on a project and filed that claim in court or arbitration?

☐ YES ☐ NO

If “yes,” 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution) below.

Response:

- SE-8. In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Principal Structural Engineer or the firm based on non-payment or losses?

☐ YES ☐ NO

If “yes,” give name the insurance carrier, the form of insurance and the year of the refusal below.

Response:

- SE-9. Has the Principal Structural 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 public agency or entity?

☐ YES ☐ NO

If “yes,” identify who was found liable or convicted, the name of the public agency, the court and case number, the date of the investigation and the grounds for the finding below.

Response:

- SE-10. Has the Principal Structural Engineer or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ YES ☐ NO

If “yes,” identify 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 below.

Response:

- SE-11. Has the Principal Structural 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 who was convicted, the court and case number, the crimes and the year convicted below.

Response:

- SE-12. Has the Principal Structural Engineer designed utility / public projects in the last 5 years?

☐ YES ☐ NO

If “yes,” how many?

Response:

- SE-13. Has the Department of Consumer Affairs taken any disciplinary action against the Principal Structural Engineer?

☐ YES ☐ NO

If “yes,” please explain below.

Response:

5.7.5 SCORED QUESTIONS FOR THE MECHANICAL ENGINEER

Definitions:

- “Firm” shall mean the firm that employs the Principal Mechanical Engineer, whether it is the General Contractor, a separate engineering firm, or other firm.

The nature of the project will dictate the discipline(s) of the Principal Engineer(s). The Design-Build Entity should make sure to pre-qualify all relevant Principal Engineers to the project. Attach additional copies as necessary for each Principal Engineer.

Name of Principal Mechanical Engineer:

Name of Firm:

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

Years Licensed:

Years Practicing in CA:

ME-2. Is the firm currently the debtor in a bankruptcy case?

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed

ME-3. Was the firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question ME-2, above)

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed

ME-4. In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Principal Engineer or the firm concerning its engineering work on a project?

☐ YES ☐ NO

If “yes,” 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 and case number, and a

brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

Response:

- ME-5. In the last five years has the Principal Mechanical 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 below. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

Response:

- ME-6. Has the Principal Mechanical Engineer or the firm ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

☐ YES ☐ NO

If “yes,” identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency below.

Response:

- ME-7. In the past five years has the Principal Mechanical Engineer or the firm made any claim in excess of \$50,000 against a project owner concerning engineering work on a project and filed that claim in court or arbitration?

☐ YES ☐ NO

If “yes,” 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution) below.

Response:

- ME-8. In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Principal Mechanical Engineer or the firm based on non-payment or losses?

☐ YES ☐ NO

If “yes,” give name the insurance carrier, the form of insurance and the year of the refusal below.

Response:

- ME-9. Has the Principal Mechanical 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 public agency or entity?

☐ YES ☐ NO

If “yes,” identify who was found liable or convicted, the name of the public agency, the court and case number, the date of the investigation and the grounds for the finding below.

Response:

- ME-10. Has the Principal Mechanical Engineer or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ YES ☐ NO

If “yes,” identify 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 below.

Response:

- ME-11. Has the Principal Mechanical 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 who was convicted, the court and case number, the crimes and the year convicted below.

Response:

- ME-12. Has the Principal Mechanical Engineer designed utility / public projects in the last 5 years?

☐ YES ☐ NO

If “yes,” how many?

- ME-13. Has the Department of Consumer Affairs taken any disciplinary action against the Principal Engineer?

☐ YES ☐ NO

If “yes,” please explain below.

Response:

5.7.6 SCORED QUESTIONS FOR THE ELECTRICAL ENGINEER**Definitions:**

- “Firm” shall mean the firm that employs the Principal Electrical Engineer, whether it is the General Contractor, a separate engineering firm, or other firm.

The nature of the project will dictate the discipline(s) of the Principal Engineer(s). The Design-Build Entity should make sure to pre-qualify all relevant Principal Engineers to the project. Attach additional copies as necessary for each Principal Engineer.

Name of Principal Electrical Engineer:

Name of Firm:

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

Years Licensed:

Years Practicing in CA:

EE-2. Is the firm currently the debtor in a bankruptcy case?

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
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EE-3. Was the firm in bankruptcy at any time during the last five years? (This question refers only to a bankruptcy action that was not described in answer to question EE-2, above)

☐ YES ☐ NO

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Response:

Case Number	Bankruptcy Court	Date Filed
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EE-4. In the past five years has any claim in excess of \$50,000 been filed in court or arbitration against the Principal Engineer or the firm concerning its engineering work on a project?

☐ YES ☐ NO

If “yes,” 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 and case number, and a

brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

Response:

- EE-5. In the last five years has the Principal Electrical 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 below. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

Response:

- EE-6. Has the Principal Electrical Engineer or the firm ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible bidder?

☐ YES ☐ NO

If “yes,” identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency below.

Response:

- EE-7. In the past five years has the Principal Electrical Engineer or the firm made any claim in excess of \$50,000 against a project owner concerning engineering work on a project and filed that claim in court or arbitration?

☐ YES ☐ NO

If “yes,” 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 and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution) below.

Response:

- EE-8. In the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Principal Electrical Engineer or the firm based on non-payment or losses?

☐ YES ☐ NO

If “yes,” give name the insurance carrier, the form of insurance and the year of the refusal below.

Response:

- EE-9. Has the Principal Electrical 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 public agency or entity?

☐ YES ☐ NO

If “yes,” identify who was found liable or convicted, the name of the public agency, the court and case number, the date of the investigation and the grounds for the finding below.

Response:

- EE-10. Has the Principal Electrical Engineer or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

☐ YES ☐ NO

If “yes,” identify 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 below.

Response:

- EE-11. Has the Principal Electrical 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 who was convicted, the court and case number, the crimes and the year convicted below.

Response:

- EE-12. Has the Principal Electrical Engineer designed utility / public projects in the last 5 years?

☐ YES ☐ NO

If “yes,” how many?

- EE-13. Has the Department of Consumer Affairs taken any disciplinary action against the Principal Electrical Engineer?

☐ YES ☐ NO

If “yes,” please explain below.

Response:

5.8. PART 1 INTERVIEWS

The interviews will be held at the office of the design/build Team. A minimum of two hours will be allocated for the interview in which the team will be given a list of questions that they will need to address. The questions will be given to the team seven calendar days ahead of the scheduled interview time. SMUD may ask additional questions during the interview based upon the answers or facts presented during the interview.

5.9. ATTACHMENT TO SUBMITTAL FORMS

5.9.1 Financial Statement

Attach the financial; statement at the end of the forms submittal section of this request for qualifications document

5.9.2 Surety Statement

Attach the notarized statement from the surety at the end of the forms submittal section of this request for qualifications document

6. PRE-QUALIFICATION QUESTIONNAIRE SCORING KEY**6.1. DESIGN-BUILD ENTITY SCORING KEY (PASS/FAIL)****6.1.1 General Pass/Fail Questions**

Question	Answer (Yes)	Answer (No)
DB-1.	Pass	Fail
DB-2.	Pass	Fail
DB-3.	Pass	Fail
DB-4.	Pass	Fail
DB-5.	Pass	Fail
DB-6.	Fail	Pass
DB-7.	Fail	Pass
DB-8.	Fail	Pass
DB-9.	Fail	Pass
DB-10.	Pass	Fail
DB-11.	Pass	Fail
DB-12.	Fail	Pass
DB-13.	Fail	Pass
DB-14.	Pass	Fail

6.2. SCORING KEY FOR DESIGN-BUILD-ENTITY**6.2.1 SCORING KEY FOR DESIGN-BUILD ENTITY EXPERIENCE**

Question Number	Question Description	Maximum Points	Score
5.6.1	DESIGN-BUILD ENTITY EXPERIENCE.	20	
	1 Experience as a Design-Build Entity and experience in Design-Build project delivery.	6	
	2 Major project experience including design and construction involving public buildings.	6	
	3 Prior experience working in a collaborative relationship with architects/engineers on projects of similar scope, scale, and complexity.	4	
	4 Design-Build experience with other types of projects.	4	

6.2.2 SCORING KEY FOR ORGANIZATION AND MANAGEMENT APPROACH

Question Number	Question Description	Maximum Points	Score
5.6.2	ORGANIZATION AND MANAGEMENT APPROACH	20	
	1 Provide an organization chart indicating clear lines of authority and the responsibilities of each component of the Design-Build Entity and all key staff members.	2	
	2 Local Office: Identify the primary office(s) where the work will be performed at or from.	3	
	3 Availability of full-time representatives of the Design-Build Entity personnel throughout the duration of the Project.	3	

Question Number	Question Description	Maximum Points	Score
	4 Submit a statement presenting your approach to this Project, entity organization, and management authority. Discuss your strategy to implement this project successfully, including overall management, controls, scheduling, quality staffing, safety, and closeout procedures.	12	

6.2.3 SCORING KEY FOR DESIGN EXPERIENCE

Question Number	Question Description	Maximum Points	Score
5.6.3	DESIGN EXPERIENCE	20	
	1 Demonstrate ability to effectively interpret and implement designs without compromise to budget, schedule, technical requirements, or SMUD standards and guidelines. Submit relevant project design experience for four projects, and no more than four projects, to be a maximum two-page narrative description. The narrative description shall include the owner's name and contact information, type of facility, location, total gross square feet, total construction cost, dates of start and completion, the firm's responsibility, project delivery method, the contract type, staff members who would be assigned to this project, and a brief statement indicating the relevance of this project to SMUD's corporate yard project.	6	
	2 Experience of engineering component working on Design-Build projects.	2	
	3 Experience with Building Information Modeling (BIM).	1	
	4 Experience working with SMUD or other public agencies.	2	

Question Number	Question Description	Maximum Points	Score
	5 Green Building experience LEED projects (Goal of Gold certification).	2	
	6 Experience on corporate yards.	5	
	7 Experience with on site power generation / power purchase agreements.	2	

6.2.4 SCORING KEY FOR CONSTRUCTION EXPERIENCE

Question Number	Question Description	Maximum Points	Score
5.6.4	CONSTRUCTION EXPERIENCE	20	
	1 Projects implemented utilizing Design-Build methodology for public or institutional clients. Submit relevant project construction experience for four projects, and no more than four projects, to be a maximum two page narrative description. Provide relevant project construction experience and information including the owner's name and contact information, location, year completed, square footage, construction and overall costs, the firm's responsibility, project delivery method, and the contract type, for projects completed since 1998 that include the following: (The same project can represent the different requirements.)	5	
	2 Experience with Building Information Modeling (BIM).	2	
	3 Experience working with SMUD or other public agencies.	2	
	4 Green Building experience LEED projects (Goal of Gold certification).	2	
	5 Experience working under a Project Labor Agreement.	2	

Question Number	Question Description	Maximum Points	Score
	6 Experience on corporate yards.	5	
	7 Experience with on site power generation / power purchase agreements.	2	

6.2.5 **SCORING KEY FOR QUALIFICATIONS OF KEY PERSONNEL**

Question Number	Question Description	Maximum Points	Score
5.6.5	QUALIFICATIONS OF KEY PERSONNEL	20	
	Submit names and qualification of up to ten (10) key professionals who are anticipated to be assigned to this project and contribute a significant effort. Personnel shall include proposed project manager(s), lead architect, lead engineers, construction managers, quality control managers, and superintendents. Indicate their present assignments, availability for this project, and the location they are now assigned to. Indicate each individual's proposed degree of responsibility, authority, and level of involvement on this Project.	20	

6.2.6 SCORING KEY FOR SEED PARTICIPATION

Question Number	Question Description	Maximum Points	Score
5.6.6	SEED PARTICIPATION A total of one hundred (100) evaluation points will be awarded to Design/Build Teams that can demonstrate that they will award 20% or more participation of the total contracted work to qualified SEED participants. Design/Build Teams shall provide a detailed description of how they plan to maximize SEED participation to achieve the goals of SMUD to promote SEED participation in this project. Proposers shall indicate what actions, methods, and/or processes they will employ to meet this goal.	100	

6.3. SCORING KEY FOR GEN. CONTRACTOR, ARCH., AND ENGIN.**6.3.1 SCORING KEY FOR GENERAL CONTRACTOR**

Question	Quantity	Yes	No	Score
GC-1.	How many years has the GC been licensed in CA? <i>5 yrs or less = 0 pts</i> <i>6 yrs = 1 pts</i> <i>7 yrs = 3 pts</i> <i>8 yrs + = 5 pts</i>	N/A	N/A	
GC-2.	Is the GC currently a debtor in a bankruptcy case?	0	10	
GC-3.	Was the GC in bankruptcy in the last 5 years?	0	10	
GC-4.	Been assessed liquidated damages in excess of \$50,000 in the last 5 years? <i>0 Projects = 10 pts</i> <i>1-2 Projects = 3 pts</i> <i>More than 2 Projects = 0 pts</i>	N/A	N/A	
GC-5.	Has GC ever defaulted on a construction contract?	0	5	
GC-6.	Been debarred, disqualified, removed or prevented from bidding on or completing project in the last 5 years?	0	10	
GC-7.	Ever been denied an award based on being “not a responsible bidder”?	0	5	
GC-8.	Have any claims in excess of \$50,000 been filed against GC in the past 5 years? <i>0 or 1 instance = 5 pts</i> <i>2 instances = 3 pts</i> <i>more than 2 instances = 0 pts</i>	N/A	N/A	
GC-9.	Has GC made any claim in excess of \$50,000 against owner in the past 5 years? <i>0 or 1 instance = 5 pts</i> <i>2 instances = 3 pts</i> <i>more than 2 instances = 0 pts</i>	N/A	N/A	
GC-10.	Has GC been refused insurance in the past 5 years?	0	5	
GC-11.	Ever been found liable in a civil suit or found guilty in a criminal action?	0	10	
GC-12.	Ever been convicted of a crime related to construction?	0	10	

Question	Quantity	Yes	No	Score
GC-13.	Ever been convicted of a crime of fraud, theft, etc?	0	10	
GC-14.	Any time in last 5 years with no bond in place when one was required?	0	10	
GC-15.	Been cited by CAL OSHA in last 5 years for violations? <i>5 pts for 0 or 1 instance</i> <i>3 pts for 2 instances</i> <i>0 pts for more than 2 instances</i>	N/A	N/A	
GC-16.	Has federal OSHA cited and assessed penalties in last 5 years? <i>5 pts for 0 or 1 instance</i> <i>3 pts for 2 instances</i> <i>0 pts for more than 2 instances</i>	N/A	N/A	
GC-17.	Has EPA or any water or air quality control board or district cited or assessed penalties in last 5 years? <i>5 pts for 0 to 1 instance</i> <i>3 pts for 2 instances</i> <i>0 pts for more than 2 instances</i>	N/A	N/A	
GC-18.	How often are safety meetings held? <i>10 pts for at least once a week</i> <i>5 pts for every two weeks</i> <i>0 pts for less than every two weeks</i>	N/A	N/A	
GC-19.	List Experience Modification Rate (EMR) for each of last 3 years? <i>10 pts for .85 or less</i> <i>5 pts if between .86 and 1.00</i> <i>0 pts for greater than 1.00</i>	N/A	N/A	
GC-20.	Been without workers comp insurance in last 5 years? <i>5 pts for 0 instance</i> <i>0 pts for greater than 0</i>	N/A	N/A	
GC-21.	Had to pay back wages or penalties for failure to comply with <u>state</u> prevailing wage laws in the last 5 years? <i>5 pts for 0 to 2 instances</i> <i>3 pts for 3 instances</i> <i>0 pts for more than 3 instances</i>	N/A	N/A	
GC-22.	Had to pay back wages or penalties for failure to comply with <u>federal</u> prevailing wage laws in the last 5 years? <i>5 pts for 0 to 2 instances</i> <i>3 pts for 3 instances</i> <i>0 pts for more than 3 instances</i>	N/A	N/A	

Question	Quantity		Yes	No	Score
GC-23.	If GC operates state-approved apprenticeship program, provide information.		5	0	
GC-24.	Has GC violated CA apprenticeship laws in the last 5 years? <i>5 pts for 0 to 2 instances</i> <i>3 pts for 3 instances</i> <i>0 pts for more than 3 instances</i>		N/A	N/A	
GC-25.	Does GC have arrangements with any state-approved apprenticeship programs?		5	0	
GC-26.	Has GC built utility/public works projects in the last 5 years? <i>0-5 Contracts = 0 pts</i> <i>6-10 Contracts = 3 pts</i> <i>11-20 Contracts = 10 pts</i> <i>20+ Contracts = 15 pts.</i>		N/A	N/A	
GC-27.	Net Worth	<i>Less than \$4 mil = 0 pts</i> <i>\$4 mil to \$12 mil = 5 pts</i> <i>\$12 mil to \$20 mil = 10 pts</i> <i>Over \$20 mil = 15 pts</i>	N/A		
GC-28.	Current Ratio	<i>Less than 1.0 = 0 pts</i> <i>1 to 1.15 = 5 pts</i> <i>Over 1.15 = 10 pts</i>	N/A		
GC-29.	Working Capital	<i>Less than \$3 mil = 0 pts</i> <i>\$3 mil – \$10 mil = 5 pts</i> <i>\$10 mil to \$15 mil = 10 pts</i> <i>Over \$15 mil = 15 pts</i>	N/A		
Total Score					

6.3.2 SCORING KEY FOR ARCHITECT OF RECORD

Question	Quantity	Yes	No	Score
A-1.	How many years licensed and practicing in CA? <i>5 yrs or less = 0 pts</i> <i>6 yrs = 3 pts</i> <i>7 yrs = 5 pts</i> <i>8 yrs + = 10 pts</i>	N/A	N/A	
A-2.	Currently a debtor in a bankruptcy case?	0	10	
A-3.	In bankruptcy in the last 5 years?	0	10	
A-4.	Been debarred, disqualified, removed or prevented from bidding on or completing project in the last 5 years? <i>10 pts for 0 instances</i> <i>0 pts for 1 or more instances</i>	N/A	N/A	
A-5.	Ever been denied an award based on being “not a responsible bidder”? <i>5 pts for 0 instances</i> <i>0 pts for 1 or more instances</i>	0	5	
A-6.	Have any claims in excess of \$50,000 been filed against Architect in the past 5 years? <i>5 pts for 0 instances</i> <i>0 pts for 1 or more instances</i>	N/A	N/A	
A-7.	Has Architect made any claim in excess of \$50,000 against owner in the past 5 years?	0	0	
A-8.	Has Architect been refused insurance in the past 5 years?	0	10	
A-9.	Ever been found liable in a civil suit or found guilty in a criminal action?	0	10	
A-10.	Ever been convicted of a crime related to construction?	0	10	
A-11.	Ever been convicted of a crime of fraud, theft, etc?	0	10	
A-12.	How many utility/public projects designed in the last 5 years? <i>0 pts for 0-2, 5 pts for 3-6, 10 pts for 7-10, 15 pts for more than 10</i>	N/A	N/A	
A-13.	Has the Dept of Consumer Affairs taken any action against Architect?	0	10	
Total Score				

6.3.3 SCORING KEY FOR CIVIL, STRUCT., MECH., AND ELECT., ENGR.

Question	Requirement/Question	Yes	No	Civil Score	Struct. Score	Mech. Score	Elec. Score
C/S/M/E-1	How many years licensed and practicing in CA? <i>5 yrs or less = 0 pts</i> <i>6 yrs = 3 pts</i> <i>7 yrs = 5 pts</i> <i>8 yrs + = 10 pts</i>	N/A	N/A				
C/S/M/E-2	Currently a debtor in a bankruptcy case?	0	10				
C/S/M/E-3	In bankruptcy in the last 5 years?	0	10				
C/S/M/E-4	Been debarred, disqualified, removed or prevented from bidding on or completing project in the last 5 years?	0	10				
C/S/M/E-5	Ever been denied an award based on being “not a responsible bidder”? <i>5 pts for 0 instances</i> <i>3 pts for 1- 2 instances</i> <i>0 pts for more than 2 instances</i>	N/A	N/A				
C/S/M/E-6	Have any claims in excess of \$50,000 been filed against Engineer in the past 5 years? <i>5 pts for 0 to 2 instances</i> <i>3 pts for 3 instances</i> <i>0 pts for more than 3 instances</i>	N/A	N/A				
C/S/M/E-7	Has Engineer made any claim in excess of \$50,000 against owner in the past 5 years? <i>5 pts for 0 instances</i> <i>3 pts for 1-3 instances</i> <i>0 pts for more than 3 instances</i>	0	10				
C/S/M/E-8	Has Engineer been refused insurance in the past 5 years?	0	5				
C/S/M/E-9	Ever been found liable in a civil suit or found guilty in a criminal action?	0	5				
C/S/M/E-10	Ever been convicted of a crime of fraud, theft, etc?	0	5				

Question	Requirement/Question	Yes	No	Civil Score	Struct. Score	Mech. Score	Elec. Score
C/S/M/E-11	Ever been convicted of a crime of fraud, theft, etc?	0	5				
C/S/M/E-12	How many utility/public projects designed in the last 5 years? <i>0 pts for 0-2</i> <i>5 pts for 3-6</i> <i>10 pts for 7-10</i> <i>15 pts for more than 10</i>	N/A	N/A				
C/S/M/E-13	Has the Dept of Consumer Affairs taken any action against the Engineer?	0	10				
Total Score							

END OF RFQ DOCUMENT