

RESOLUTION NO. 12-151

A RESOLUTION OF THE CITY COUNCIL OF THE CITY OF EL PASO DE ROBLES ADOPTING BIDDER PREQUALIFICATION PROCEDURES AND AUTHORIZING THE CITY MANAGER OR HIS DESIGNEE TO UNDERTAKE A CONTRACTOR PREQUALIFICATION PROCESS FOR THE CITY'S WASTEWATER TREATMENT PLANT UPGRADE PROJECT

WHEREAS, Section 20101 of the Public Contract Code authorizes the City to review the qualifications of prospective bidders before receiving bids, and to limit bidding to qualified contractors; and

WHEREAS, construction of the Wastewater Treatment Plant Upgrade Project will require contractors to work at the existing facility without disrupting on-going operations and involve other technical and logistical challenges, and City will be best served by having contractors experienced in performing this type of work as the general and electrical contractors for the Project; and

WHEREAS, under Section 20101, in order to prequalify bidders the City Council must "adopt and apply a uniform system of rating bidders, based on objective criteria that set forth the minimum requirements permitted for qualification," and establish a process by which bidders who do not qualify may appeal; and

WHEREAS, the City Council has determined that adopting bidder pre-qualification procedures in accordance with Public Contract Code Section 20101 will benefit the City by providing an opportunity for the City to review prospective bidders' track record in detail and to create a more competitive pool of bidders.

NOW, THEREFORE, BE IT RESOLVED by the City Council of the City of El Paso de Robles as follows:

Section 1. The City Council hereby adopts the uniform system of rating bidders and process for appeals set forth in the "Request for Statements of Pre-Qualification from Interested General Contractors for the City of Paso Robles Wastewater Treatment Plant Upgrade Project" attached hereto as Exhibit "A" and incorporated herein by reference ("Pre-Qualification Procedure") and authorizes the City Manager, or his designee, to pre-qualify bidders for the Project pursuant to the attached Pre-Qualification Procedure. The Pre-Qualification Procedure for interested electrical subcontractors is the same as the procedure for interested general contractors.

Section 2. The City Council hereby establishes the Bidder Pre-Qualification Appeals Panel ("Appeal Panel") consisting of the following, or their designee(s): the City Manager, the City Engineer and the Director of Public Works. Except as otherwise provided for herein, appeals shall be conducted by the Appeal Panel in accordance with the rules set forth in the Uniform Administrative Code. The sole issue before the Appeals Panel shall be the scoring of a prospective bidder. The decision of the Appeals Panel shall be the City's final administrative decision and any judicial review thereof shall be instituted no later than the time period referred to in section 1094.6 of the Code of Civil Procedure.

Section 3. Effective Date. This Resolution shall take effect immediately upon its adoption.

PASSED AND ADOPTED by the City Council of the City of El Paso de Robles this 4th day of September, 2012 by the following vote:

AYES: Hamon, Gilman, Steinbeck, Picanco

NOES:

ABSTAIN:

ABSENT: Strong

Duane Picanco, Mayor

ATTEST:

Caryn Jackson, Deputy City Clerk

82477.07000\7542664.2

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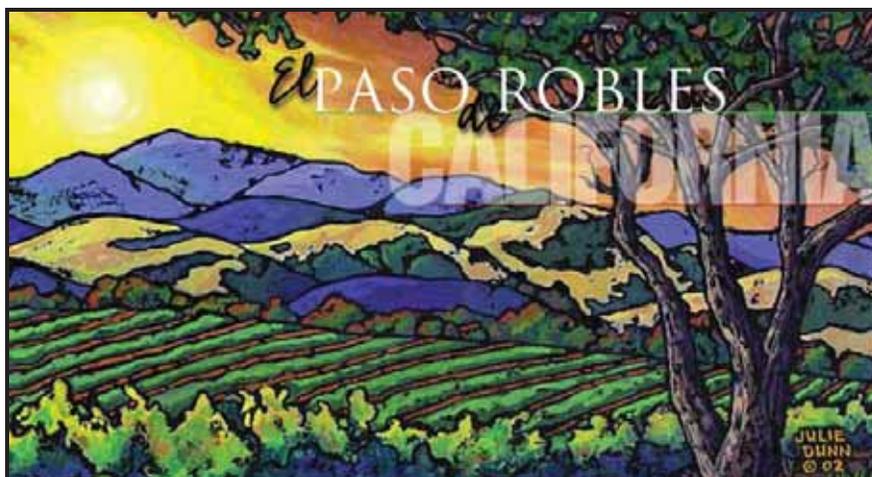

Duane Picanco, Mayor

ATTEST


Caryn Jackson, Deputy City Clerk

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Exhibit A



**Request for Statements of Pre-Qualification from
Interested General Contractors
for
The City of Paso Robles
Wastewater Treatment Plant Upgrade Project**

**STATEMENTS OF
PRE-QUALIFICATION DUE:
October 9, 2012, at or before 3 p.m.**

September 10, 2012

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NOTICE TO GENERAL CONTRACTORS
REQUESTING STATEMENTS OF PRE-QUALIFICATIONS

For the

City of Paso Robles

Wastewater Treatment Plant Upgrade Project

Notice is hereby given that the City of Paso Robles ("Owner") has determined that all Contractors and Electrical Subcontractors bidding on the **Wastewater Treatment Plant Upgrade Project** ("Project") must be pre-qualified prior to submitting a Bid on the Project. It is mandatory that all Contractors who intend to submit a Bid for this project ("Prospective Bidders"), fully complete the Statements of Pre-Qualification ("SOPQ") package, provide all materials requested herein, and be pre-qualified by the Owner to be on the final qualified Bidder's list. The final list of pre-qualified General Contractors and Electrical Subcontractors will be issued following evaluation of the SOPQ packages.

STATEMENTS OF PRE-QUALIFICATION: Prospective Bidders interested in submitting bids on the Project must be pre-qualified by submitting a Statement of Pre-Qualification (SOPQ) package in the form provided by the Owner. One (1) original and five (5) copies of the SOPQ package must be delivered to and received by the City Clerk at 1000 Spring Street, Paso Robles, CA 93446 **by October 9, 2012, at or before 3:00 p.m.**, local time. **SOPQ packages shall be submitted in sealed envelopes marked "Confidential" and shall include the following title on the front of the package, "General Contractor SOPQ for the Paso Robles Wastewater Treatment Plant Upgrade Project."** The General Contractor SOPQ package is specific to the Project, and is not a qualification for performing other Owner projects or Owner projects in general. Owner will notify Prospective Bidders no later than November 16, 2012, if the Prospective Bidder meets the Owner's pre-qualification standards.

In addition to this General Contractor SOPQ, Electrical Subcontractors must also be pre-qualified under a separate, but concurrent, Electrical Subcontractor Statements of Pre-Qualification. Should a General Contractor plan to self-perform the electrical work, it will need to complete the "Statement of Pre-Qualifications from Interested Electrical Subcontractors" to demonstrate the General Contractor's experience and qualifications to self-perform the electrical work with the understanding that all references to Electrical Subcontractor in the "Statement of Pre-Qualifications from Interested Electrical Sub-Contractors" shall mean General Contractor if that work is self-performed. Should a General Contractor be pre-qualified by the Owner as a General Contractor and not an Electrical Subcontractor, that General Contractor will not be allowed to self-perform the electrical work and must use one of the electrical subcontractors that is approved by the Owner for the electrical work. Likewise, should a General Contractor be pre-qualified as an Electrical Subcontractor and not as a General Contractor, that General Contractor will not be allowed to submit a bid to the Owner as a General Contractor. However, that same General Contractor can submit a quote for the electrical work to any of the General Contractors that are pre-approved by the Owner.

PRE-QUALIFICATION CONFERENCE

A Prequalification Package Conference will be held on September 25, 2012 at 10:00 a.m. at the Project Site, 3200 Sulphur Springs Road, Paso Robles, California. Representatives from the City, The Covello Group (the City's Construction Manager) and Black & Veatch Engineers (the City's Design Engineer) will be available to discuss the Project at this conference. **All interested Contractors are required to attend.**

PROJECT DESCRIPTION

The City owns, maintains, and operates a 4.9 million gallons per day (mgd) secondary wastewater treatment plant (WWTP) located at 3200 Sulphur Springs Road in Paso Robles. Currently, the annual average flow is 3 mgd. The WWTP was built in 1954 and was expanded in 1972, 1987, 2002, and 2008, but has not been comprehensively upgraded since 1954.

The WWTP upgrade is intended to bring the plant into compliance with current and anticipated discharge regulations, as well as local regulatory requirements and City goals and policies. The upgrade work is to be completed on the site of the existing treatment plant and the existing treatment plant is to remain in operation while the upgrades are constructed.

The primary project components include:

1. Headworks and Primary Treatment - Upgrades and improvements to the headworks and primary treatment system will include Headworks Facility, Septage Receiving Station, Primary Influent Flow Splitter, Ferric Chloride Feed and Storage system, Primary Effluent Pump Station, Primary Scum Pump Station, and rehabilitation to the existing Primary Clarifiers.
2. Secondary Treatment - The secondary treatment facilities will include Biological Nutrient Removal (BNR) Influent Flow Splitter, BNR Basins, Blower Building, Secondary Clarifier Flow Splitter, Secondary Clarifiers, Secondary Scum Pump Station and Return Activated Sludge (RAS) Pump Station.
3. Disinfection - Upgrades and improvements to the disinfection system will include Flash Mixer and Disinfection Flow Splitter, Ammonia Sulfate Feed and Storage System, and modifications to the existing Chlorine Contact Basins.
4. Effluent Polishing - An Effluent Polishing Channel will be constructed in the existing Pond #3 to provide additional polishing and removal of contaminants.
5. Sludge Thickening - The sludge thickening system will include a waste activated sludge (WAS) Equalization Tank, dissolved air flotation thickener and Thickened Sludge Pump Station.
6. Co-generation - A Co-Generation Facility will be constructed to clean and use biogas produced on-site to supply the cogeneration units for on-site electrical power and heat generation.
7. Standby Engine Generator - Will be installed to provide backup power for plant essential loads during power outage.

8. W-3 Water Pump Station – Will supply chlorinated effluent to the plant for spray headers, irrigation, and process water.
9. Control System - Instrumentation, programmable control system related equipment and software programming and configuration of the system, including programmable logic controllers and human machine interface (HMI) computers will be provided for the new facilities.
10. Operations Building - The building will contain a control room, offices, an administration and reception area, a break room, a video/training/conference room, a laboratory, , a mechanical/electrical room, a janitor room, and men’s and women’s locker rooms.
11. Warehouse and Vehicle Storage Facilities – Two pre-engineered metal buildings will be installed near the operations building to house various wastewater-related equipment.
12. Demolition – Extensive demolition of existing facilities is required. Demolition is to be done in two phases. Phase 1 generally precedes construction of the new facilities and Phase 2 follows construction of the new facilities.

DRAWINGS:

The Project drawings were complete in August 2011. These drawings are available for review during normal business hours at the following locations:

- Paso Robles City Hall, 1000 Spring Street, Paso Robles, CA, 93446
- Black & Veatch, 2999 Oak Road, Suite 490, Walnut Creek, CA, 94597
- The Covello Group, 1660 Olympic Blvd, Suite 300, Walnut Creek, CA, 94596

Drawings of the overall site plan, process flow diagram, demolition plans, power distribution and electrical site plan are provided at the end of the document reference as Attachment 5.

The drawings are currently being refined, so the drawings that will be the basis of bidding will be slightly different than the drawings that are currently available for review.

ENGINEER’S OPINION OF PROBABLE CONSTRUCTION COST:

\$39,987,000

PROJECT SCHEDULE: The anticipated Project schedule is summarized below:

Preliminary Project Milestones	Anticipated Date
Issue Request for SOPQ	September 10, 2012
Pre-Qualification Conference	September 25, 2012
Questions and Comments Form Due Date	September 28, 2012
Owner Receives SOPQ Packages	October 9, 2012
Owner Notifies Prospective Bidders of Qualified Bidder’s List	November 16, 2012
Owner Notifies Prospective Bidders of Final Qualified Bidder’s List	December 4, 2012
Owner Advertises for Bids	December 5, 2012

Bid Opening	January 22, 2013
Award Project	February 5 or 19, 2013
Substantial Completion	December 2014
Anticipated Project Final Completion	July 2015

OBTAINING SOPQ PACKAGES: Prospective Bidders may obtain one (1) copy of the SOPQ package at no cost by contacting:

Mr. Steve Wrightson
The Covello Group
1660 Olympic Blvd. Suite 300
Walnut Creek, CA 94596
Office Ph: (925) 933-2300 x-107; Mobile Ph: (925) 260-0435; Fax: (925) 933-0434
E-mail: swrightson@covelligroup.com (please request delivery receipt confirmation for all e-mails sent)

The Statement of Pre-Qualifications is also available online at: www.pasowastewater.com.

Bidder shall contact Steve Wrightson, using contact information above, five days and one day prior to SOPQ due date to confirm the number of addenda issued.

The Owner has determined that Prospective Bidders on the Project must possess a valid State of California **Class A** General Engineering Contractor License at the time of submission of this SOPQ.

The entire SOPQ Package (SOPQ questionnaire answers and financial statements), submitted by Prospective Bidders, are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of Prospective Bidders applying for pre-qualification status shall be in the public records subject to disclosure, and the first page of the SOPQ questionnaire will be used for that purpose.

The Prospective Bidder shall provide only complete and accurate information in their SOPQ Package. The Prospective Bidder acknowledges that the Owner is relying on the truth and accuracy of the responses contained herein. Each SOPQ questionnaire must be signed under penalty of perjury in the manner designated at the end of the form, by an individual who has the legal authority to bind the Prospective Bidder on whose behalf that person is signing. If any information provided by a Prospective Bidder becomes inaccurate, the Prospective Bidder must immediately notify the Owner and provide updated accurate information in writing, under penalty of perjury. Should a Prospective Bidder omit or falsify requested information, the Owner may designate the Prospective Bidder as not pre-qualified.

The Owner reserves the right to waive non-material irregularities and omissions in the information contained in the pre-qualification application submitted and to make all final determinations. The Owner reserves the right to cancel this Notice or to reject any and all responses and SOPQ Packages, in its sole discretion.

The Owner shall not be liable for any costs incurred by Contractors in the preparation and submittal of responses to this Request for Qualifications. The Prospective Bidder accepts all risks and cost associated with the completion of the SOPQ Package without any financial guarantee by the Owner.

DATED: September 10, 2012

Mr. Matt Thompson, P.E.
Wastewater Division Manager

*****END OF NOTICE*****

GENERAL CONTRACTORS'
STATEMENTS OF PRE-QUALIFICATIONS (SOPQ)
FOR THE
CITY OF PASO ROBLES
WASTEWATER TREATMENT PLANT UPGRADE PROJECT

Questions and Comments Form

Firm Name: _____

Name: _____ Title: _____

SOPQ Questions/Comments:

Signature _____

Phone Number & Email _____

Date _____

Submit to: The Covello Group,
Address: 1660 Olympic Blvd., Suite 300, Walnut Creek, CA 94596
Attention: Steve Wrightson,
Email: swrightson@covellogroup.com
Fax: (925) 933-0434

INSTRUCTIONS FOR PREPARATION AND SUBMISSION OF STATEMENT OF PRE-QUALIFICATION (SOPQ) PACKAGES

PREPARATION OF SUBMITTAL

The SOPQ Package submittal shall consist of one (1) original and five (5) copies of the SOPQ materials to be delivered. The original and each copy of SOPQ shall be assembled in separate 3-ring binders with a Title Page, Table of Contents, and Section Dividers. The SOPQ submittal information shall be presented in the same order and with all contents as it was delivered or printed from the website; submitting the whole document beginning with page 1; and including any addendums. All pages shall be punched and printing shall be arranged so that punching does not obliterate any data. Only one financial statement shall be submitted. A single copy of a reviewed or audited company financial statement shall be provided in a separate sealed envelope with the original SOPQ Package submittal.

It is mandatory that all Prospective Bidders who desire to submit a Bid, fully complete the SOPQ questionnaire, provide all materials requested herein, and be approved by Owner to be on the final qualified Bidder's list. No Bid will be accepted from a Bidder that has failed to comply with these requirements. If two or more business entities submit a Bid as part of a Joint Venture, or expect to submit a Bid as part of a Joint Venture, each entity within the Joint Venture must be separately qualified through this process, with the exception that only one Joint Venture Partner must complete the Project Manager requirements under Part III of the SOPQ questionnaire.

QUESTIONS AND COMMENTS

Any questions, comments or objections to the pre-qualification materials, or explanation desired by a Prospective Bidder regarding the meaning or interpretation of the Pre-Qualification Package and related materials shall be made in writing and delivered by U.S. Mail, Facsimile or E-mail (with E-mail delivery receipt request) within ten (10) calendar days before the time specified for submission of SOPQ Packages to:

Steve Wrightson
The Covello Group
1660 Olympic Blvd., Suite 300
Walnut Creek, CA, 94596
Office Ph: (925) 933-2300 x-107; Mobile Ph: (925) 260-0435; Fax: (925) 933-0434
E-mail: swrightson@covellogroup.com (please request delivery receipt confirmation for all e-mails sent)

It is the Prospective Bidder's sole responsibility to ensure that the e-mail questions are received by the Owner in a timely manner. Upon receipt of an e-mail question, the Owner shall provide acknowledgement of receipt within 2 business days. If the Prospective Bidder does not receive an acknowledgement of receipt of an e-mail question from the Owner within the above referenced timeframe, the Prospective Bidder shall assume the e-mail transmission was not received by the Owner, and shall be responsible for resubmitting the same in a timely manner, and if necessary by an alternate allowable method of transmission allowing for confirmation of receipt (e.g., facsimile).

Any information provided to any Prospective Bidder concerning a solicitation will be furnished to all Prospective Bidders who requested a Pre-Qualification Package. By submitting a completed SOPQ Package, the Prospective Bidder waives any and all objections to its form and content.

EXCLUSION OF COST QUOTATIONS

The SOPQ Package Submittal is a request for information, not a cost proposal. Contractors are advised that a formal or informal cost quotation for the project is not requested and should not be included with the Submittal. Any such information furnished will not be considered.

WITHDRAWAL OF SUBMITTAL

A SOPQ Package submittal may be withdrawn by a Prospective Bidder, at any time prior to the Owner's determining the final list of qualified Bidders, by written request to Mr. Steve Wrightson using contact information provided above.

SOPQ PACKAGE SUBMITTAL REVIEW

The answers to questions contained in the attached SOPQ questionnaire, information about current bonding capacity, notarized statement from surety, and the most recent reviewed or audited financial statements, with accompanying notes and supplemental information, are required and will be used by the Owner to rate Prospective Bidders with respect to their qualifications to bid on the Project. Owner reserves the right to check other sources available and to interview the Proposed Bidder and designated Project Manager for the Project. Owner's decision will be based on objective evaluation criteria. Refer to Attachment 2 for scoring instructions.

Owner reserves the right to adjust, increase, limit, suspend or rescind the pre-qualification rating based on information acquired before or after receiving the SOPQ. Contractors whose rating changes sufficiently to disqualify them will be notified, and given an opportunity for a hearing consistent with the procedures described below for appealing a pre-qualification rating.

While it is the intent of the SOPQ questionnaire and documents required therewith to assist the Owner in determining contractor responsibility prior to bid, neither the fact of pre-qualification, nor any pre-qualification rating, will preclude the Owner from a post-bid consideration and determination of whether a Bidder has the quality, fitness, capacity and experience to satisfactorily perform the proposed work.

As provided in Public Contract Code Section 20101, SOPQ Packages (SOPQ questionnaire answers and financial statements), submitted by Prospective Bidders, are not public records and are not open to public inspection. All information provided will be kept confidential to the extent permitted by law. However, the contents may be disclosed to third parties for purpose of verification, or investigation of substantial allegations, or in the appeal hearing. State law requires that the names of Prospective Bidders applying for pre-qualification status shall be public records subject to disclosure, and the first page of the SOPQ questionnaire will be used for that purpose.

The Prospective Bidder shall provide only complete and accurate information in their SOPQ Packages. The Prospective Bidder acknowledges that the Owner is relying on the truth and accuracy of the responses contained herein. Each SOPQ questionnaire must be signed under penalty of perjury in the manner designated at the end of the form, by an individual who has the legal authority to bind the Prospective Bidder on whose behalf that person is signing. If any information provided by a Prospective Bidder becomes inaccurate, the Prospective Bidder must immediately notify the Owner and provide updated accurate information in writing, under penalty of perjury. Should a Prospective Bidder omit or falsify requested information, the Owner may designate the Prospective Bidder as not pre-qualified.

The Owner reserves the right to waive minor irregularities and omissions in the information contained in the pre-qualification application submitted and to make all final determinations. The Owner reserves the right to cancel this Notice or to reject any and all responses and SOPQ Packages, if it determines in its sole discretion, that such cancellation or rejection is in the best interest of the Owner.

Prospective Bidders may submit pre-qualification packages during regular Owner working hours until October 9, 2012, at or before 3:00 pm. Prospective Bidders who submit a complete pre-qualification package will be notified in writing no later than November 16, 2012, if the Prospective Bidder meets the Owner pre-qualification standards.

The Owner must receive all SOPQ Package submittals and materials requested herein by the date and time stated in this Notice. SOPQ Package submittals received after that time will be returned unopened, and the Contractor will not be eligible to participate in bidding for the Contract to construct the Project. Incomplete or unsigned SOPQ Package submittals will be returned without review and the Prospective Bidder will not be eligible to participate in bidding for the Contract to construct the Project.

If the Prospective Bidder has not been in business for the time period for which information is requested, it shall submit information on predecessor entities covering that time period. This requirement applies to Joint Ventures, which shall submit information on each of the Joint Venture entities for the specified time period for which information is requested.

The Owner will evaluate all complete SOPQ Package submittals on a Pass/Fail basis as well as a points-based rating system. In order to pre-qualify for this Project, Prospective Bidder must obtain a "Pass" rating on all of the criteria set forth in Part I and meet the minimum rating requirements of the Owner for Parts II and III. Those Prospective Bidders who do not obtain a "Pass" rating for all of the criteria in Part I will not be pre-qualified to participate in bidding for the Contract to construct the Project regardless of the scores obtained in Parts II and III.

The Contract for construction of the Project may be awarded, if at all, to the responsible, pre-qualified Bidder, submitting the lowest responsive Bid. Neither issuing this Notice, nor any other activity related to the pre-qualification process, commits or obligates the Owner to award a Contract for the Project, to pay costs incurred in the preparation of a SOPQ package submittal, or to procure or contract for any services. Owner retains the right to reject any and all SOPQ Package submittals, to contract work with whomever and in whatever manner Owner decides, or to abandon the Work entirely.

PROSPECTIVE BIDDER APPEAL PROCESS

The Owner may refuse to grant pre-qualification where the requested information and materials are not provided. There is no appeal for submitting an incomplete or late application. The closing time for submittals will not be changed in order to accommodate supplementation of incomplete submissions, or late submissions.

Where a timely and completed SOPQ Package submittal results in a rating below that necessary to pre-qualify, a Prospective Bidder can appeal the determination. At the time the City notifies the Prospective Bidder that it has not prequalified, the City will provide a written statement of the basis for its determination. An appeal is begun by the Prospective Bidder delivering notice to the Owner of its appeal of the decision with respect to its pre-qualification rating, no later than three (3) business days after being notified of the Owner's decision. The notice of appeal must address the facts and issues in the City's statement, and contain a complete statement of the basis for the

appeal and all supporting documentation. Without a timely appeal, the Prospective Bidder waives any and all rights to challenge the decision of the Owner, whether by administrative process, judicial process or any other legal process or proceeding.

If the Prospective Bidder gives the required notice of appeal and requests a hearing, the hearing shall be conducted so that it is concluded no later than five (5) business days after the Owner's receipt of the notice of appeal. The hearing shall be an informal process conducted by a panel to which the Owner has delegated final authority and responsibility to hear such appeals (the "Appeals Panel"). The Appeals Panel shall consist of at least three persons selected by Owner to serve in that capacity. The Prospective Bidder will be given the opportunity to present information and present reasons in opposition to the rating to the extent they have been identified in their notice of appeal. Within two (2) business days after the conclusion of the hearing, the Appeals Panel will render its decision, and the Prospective Bidder will be given written notice of the decision, which shall be final and binding.

If a Prospective bidder does not appeal a determination of disqualification or denial of pre-qualification through the process described above, the Owner's decision on pre-qualification may be adopted without further proceedings. Failure to appeal within the time set forth above shall be deemed failure to exhaust administrative remedies and act as a bar to subsequent litigation or other claim procedures.

Because of a regulatory deadline for the Owner to have the Project complete and in operation, the Owner will strictly enforce the time limits in connection with the appeals of determination of contractor qualifications, and the bid date will not be extended on account of any appeal of a determination that a contractor is not qualified to submit a bid for the contract to construct the project.

ELECTIVE PARTICIPATION

The SOPQ Package submittal, its completion and submission by the Prospective Bidder, and its use by the Owner, shall not give rise to any liability on the part of the Owner to the Prospective Bidder or any third party or person. This is not a solicitation for a Bid. No guarantees are made or implied that the Project will be constructed, either in part or in whole. The Owner shall not be liable for any costs incurred by General Contractors in the preparation and submittal of responses to this Request for Qualifications. The Prospective Bidder accepts all risks and cost associated with the completion of the SOPQ Package without financial guarantee.

ACKNOWLEDGMENT

The submission of a SOPQ Package shall constitute an acknowledgment upon which the Owner may rely that the Prospective Bidder has thoroughly examined and is familiar with the SOPQ requirements and that the Prospective Bidder has waived any objections or contentions regarding the SOPQ Document and/or the pre-qualification requirements set by the Owner to determine if a Prospective Bidder is approved to submit a Bid for this Project.

By my signature below, I acknowledge receipt of this document and agree to be bound by its terms and agree to submit it as part of the SOPQ Package submittal to the Owner.

Full Name of Contractor

Signed

Name

Title

Date

*****END OF INSTRUCTIONS TO PROSPECTIVE BIDDERS*****

STATEMENT OF PRE-QUALIFICATION (SOPQ) QUESTIONNAIRE

FOR

City of Paso Robles

Wastewater Treatment Plant Upgrade Project

**GENERAL CONTRACTORS
– PROSPECTIVE BIDDER–**

CONTACT INFORMATION

Firm Name: _____
(As it appears on license)

Circle One: Corporation
Partnership
Sole Proprietorship

Contact Person: _____

Address: _____

Phone: _____ Fax: _____

E-mail Address: _____

If firm is a sole proprietor or partnership:

Owner(s) of Company _____

Prospective Bidder's License Number(s) and Classifications:

PART I. ESSENTIAL REQUIREMENTS FOR QUALIFICATION

An answer of “No” to any of the Questions 1 through 9 will be rated a “Fail” and the Prospective Bidder will be immediately disqualified.

An answer of “Yes” to any of the Questions 10 through 13 will be rated a “Fail” and the Prospective Bidder will be immediately disqualified.

1. Prospective Bidder possesses a valid and current California Contractor’s license (Class A, General Engineering Contractor) for the project for which it intends to submit a Bid.
 Yes No

2. Prospective Bidder will comply with and provide all insurance as defined in Attachment No. 1, Bonds and Insurance.
 Yes No

Note: Prospective Bidder shall provide as part of their SOPQ Package Submittal a notarized statement (see form attached herein), from the insurance carrier(s) or insurance broker that the Prospective Bidder will utilize on the Project, certifying that the specified insurance requirements will be met. Please note that these are preliminary insurance requirements and are subject to change. The Contractor will be required to provide insurance as provided for in the Project Bid Documents.

3. Prospective Bidder has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq.
 Yes No Prospective Bidder is exempt from this requirement
Because it has no employees

4. Prospective Bidder has a safety record that meets or exceeds one of the following safety criteria and has furnished a letter from its insurance carrier for verification of its three-year average Experience Modification Rating (EMR) and, if not qualifying under criteria 1, verification of its Reportable Incident Rate (RIR) and Loss Time Injury Rating (LTIR). If qualifying under criteria 3 Prospective Bidder agrees to all requirements stated therein. See Part II- Item 33 for additional details.

1. If the Contractor’s three-year average Workers’ Compensation Experience Modification Rating (EMR) is equal to or less than 1.10, the contractor meets the minimum safety requirements for this project;
2. If the Contractor’s three-year average EMR is greater than 1.10 but not greater than 1.25, the Contractor’s three-year average Recordable Incident Rate (RIR) must not be greater than 3.3 and three-year average Lost Time Incident Rate (LTIR) must not be greater than 1.4 to meet the minimum safety requirements for this project;

Yes No If answering "yes", indicate the highest level category (1 or 2) that applies: _____.

5. Has the Prospective Bidder attached the latest complete copy of a **reviewed or audited** financial statement with all accompanying notes and supplemental information? Date of financial statement must be 2011 or later. If Prospective Bidder is a wholly owned subsidiary of another company, Prospective Bidder must also furnish a reviewed or audited financial statement of the parent company with accompanying notes and supplemental information.

Yes No

NOTE: A financial statement that is not either reviewed or audited is not acceptable and reason for disqualification. A letter verifying availability of a line of credit may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statement.

6. Has the Prospective Bidder attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) and authorized to issue bonds in the State of California, which states: (a) that your current bonding capacity is sufficient for the project for which you seek pre-qualification, (b) your current available bonding capacity?

Yes No

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

7. In accordance with Part III, Item 38, Prospective Bidder has listed at least six (6) but not more than (10) projects completed since **September 30, 2005** of the types defined below and meeting the following requirements:

1. The listed projects must have a combined construction value of \$100 million;
2. At least one of the listed projects must have a construction value of at least \$25 million;
3. The Prospective Bidder must have self-performed at least 50% of the work on each of the projects; and
4. All Municipal Wastewater and Water Treatment Plant projects completed in California since September 30, 2005 with a construction value of \$25 million or more must be included in the list. If the Prospective Bidder has more than 10 projects meeting this condition, expand the number of listed projects so that all projects meeting this condition are listed.
5. At least half of the projects listed must be type "a" or type "b" from the type of acceptable projects defined below.

Types of acceptable projects are:

- a. Municipal Wastewater Treatment Plants where the electrical, mechanical and instrumentation systems were part of the Contractor's contract;
- or
- b. Municipal Water Treatment Plants where the electrical, mechanical and instrumentation systems were part of the Contractor's contract;
- or
- c. Municipal Wastewater or Water Pump Stations where the electrical, mechanical and instrumentation systems were part of the Contractor's contract.

The list of projects may include projects currently under construction, but only the total amount paid by the Owner(s) as of **September 30, 2012** on uncompleted project(s) can be included in this summation of construction value. ***Any projects listed in Part III, Item 38, that do not meet the criteria above, will not be considered by the Owner in meeting this pre-requisite experience requirement. For example, pipeline projects, and reservoirs are not considered a treatment plant or pump station project and will not be considered.***

Yes No

8. In accordance with Part III, Item 39, Prospective Bidder has named a Project Manager who will be assigned to this Project, will be personally on-site full time and has successfully completed at least three (3) related water and/or wastewater treatment plant projects where the individual named held the position of Project Manager. One of the listed projects must have a contract value of at least **\$15 million**. The demonstrated experience of the Project Manager must have been within the last seven (7) years.

Yes No

9. Prospective Bidder agrees to perform with his own organization and with the assistance of workers under his immediate superintendence, work of a value not less than fifty percent (50 %) of the Bidder's Total Bid Price.

Yes No

10. Has the Prospective Bidder's contractor's license been revoked at any time in the last five (5) years?

Yes No

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

Yes No

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

Yes No

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

13. At any time during the last five (5) years, has your firm or any of its owners or officers been convicted of a crime involving the awarding of a contract of a government construction project, or the bidding or performance of a government contract?

Yes No

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

A. Current Organization and Structure of the Business

For Firms That Are Corporations:

- 1a. Date incorporated: _____
- 1b. Under the laws of what state: _____
- 1c. Is it a publicly traded corporation? Yes No
- 1d. Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten percent (10%) of the corporation's stock.

Name	Position	Years with Co.	% Ownership

- 1e. Identify every construction firm that any person listed above has been associated with (as owner, general partner, limited partner or officer) at any time during the last five (5) years.

NOTE: For this question, "owner" and "partner" refer to ownership of ten percent (10%) or more of the business, or 10 percent (10%) or more of its stock, if the business is a corporation.

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

For Firms That Are Partnerships:

- 1a. Date of formation: _____
- 1b. Under the laws of what state: _____
- 1c. Provide all the following information for each partner who owns 10 percent (10%) or more of the firm. If no partner owns at least 10 percent (10%) of the firm, identify the three partners with the largest percentage ownership of the firm.

Name	Position	Years with Co.	% Ownership

- 1d. Identify every construction company that any named partner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five (5) years.

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

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

For Firms That Are Sole Proprietorships:

- 1a. Date of commencement of business: _____
 1b. Identify every construction firm that the business owner has been associated with (as owner, general partner, limited partner or officer) at any time during the last five (5) years.

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

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

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

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

Name of firm	% Ownership of Joint Venture

B. History of the Business and Organizational Performance

- 2. Has there been any change in ownership of the firm at any time during the last three (3) years?

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

Yes No

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

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

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

Yes No

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

- 4. Are any corporate officers, partners or owners associated with any other construction firms?

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

Yes No

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

- 5. State your firm’s gross revenues for each of the last three (3) years:

2009 _____ 2010 _____ 2011 _____

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

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

Yes No

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

8. Was your firm in bankruptcy at any time during the last five (5) years? (This question refers only to a bankruptcy action that was not described in answer to question 7, above)

Yes No

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

C. Licenses

9. List all license numbers, classifications and expiration dates of contractors licenses issued by the California Contractors State License Board held by your firm:

10. If any of your firm's license(s) are held in the name of a corporation or partnership, list below the names of the qualifying individual(s) listed on the CSLB records who is the license qualifier (Responsible Managing Officer or Responsible Managing Employee) for each license.

11. Has your firm changed names or license numbers in the past five (5) years?

Yes No

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

12. Has any owner, partner or (for corporations) officer of your firm operated a construction firm under any other name in the last five (5) years?

Yes No

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

13. Has any CSLB license held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five (5) years?

Yes No

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

D. Disputes

14. At any time in the last five (5) years has your firm been assessed and/or paid liquidated damages under a construction contract with either a public or private owner?

Yes No

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

15. In the last five (5) years has your firm, or any firm with which any of your company's owners, officers or partners was associated, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

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

Yes No

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

16. In the last five (5) years has your firm been denied an award of a public works contract based on a finding by a public agency that your company was not a responsible Bidder?

Yes No

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

NOTE: The following two questions refer only to disputes between your firm and the owner of a project. You need not include information about disputes between your firm and a supplier, another contractor, or subcontractor. You may omit reference to all disputes about amounts of less than \$50,000.

17. In the past five (5) years has any claim **against** your firm concerning your firm’s work on a construction project been **the subject of litigation or arbitration?**
- Yes No

If “yes,” on separate signed pages of paper identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court or forum in which the claim was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution). If “yes”, are there any current claims against your company that should you lose the claim(s), would adversely affect your financial position or your ability to meet your obligations if awarded the contract for this Project? If so, please explain.

18. In the past five (5) years has your firm made any claim against a project owner concerning your work on a project or payment for a contract and **filed that claim in court or arbitration?**
- Yes No

If “yes,” on separate signed pages of paper identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court or forum in which the claim was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution). If “yes”, are there any current claims against a project owner that should you lose the claim(s), would adversely affect your financial position or your ability to meet your obligations if awarded the Contract for this Project? If so, please explain.

19. At any time in the past five years, has any surety company made any payments on your firm’s behalf as a result of a default, to satisfy any claims made against a performance or payment bond issued on your firm’s behalf, in connection with a construction project, either public or private?
- Yes No

20. In the last five (5) years has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your firm?
- Yes No

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

E. Criminal Matters and Related Civil Suits

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

Yes No

If "yes," explain on a separate signed page, identify the proceeding in which such a finding was made by providing the title of the proceeding, the court or forum in which the proceeding was pending, the name of the person or persons involved, including the name of the owners, officers or partners as to which the finding was made and the plaintiff, prosecutor or petitioner alleging the existence of any false claim or material misrepresentation and a description of the nature of the false claim or material misrepresentation at issue.

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

Yes No

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

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

Yes No

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

F. Bonding

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

Name of bonding company/surety:

Name of surety agent, address and telephone number:

25. If your firm was required to pay a premium of more than one percent (1%) for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one percent (1%), if you wish to do so.

26. List all other surety companies (name and full address) that have written bonds for your firm during the last five (5) years, including the dates during which each wrote the bonds:

27. During the last five (5) years, has your firm ever been denied bond coverage by a surety company, or has there ever been a period of time when your firm had no surety bond in place during a public construction project when one was required?

Yes No

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

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

28. Has CAL OSHA cited and assessed penalties against your firm for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five (5) 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,” attach a separate signed page describing the citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, the amount of penalty paid, if any. If

the citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

29. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against your firm in the past five (5) years?

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

Yes No

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

30. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board initiated an inquiry, or made a request for information involving either your firm or the owner of a project on which your firm was a contractor, in the past five (5) years?

Yes No

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

31. Has the EPA or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your firm or the owner of a project on which your firm was the contractor, in the past five (5) years?

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

Yes No

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

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

-
33. Insurance Rating Factors:
A Prospective Bidder will be immediately disqualified if it does not meet the criteria defined in Part I Question 4.

A. Experience Modification Rate (EMR): Prospective Bidders shall list below and obtain a letter from your insurance carrier (or state fund if applicable) with your interstate EMR's for the current year, previous year and year prior to previous

year. If you do not have an interstate rating, obtain your intrastate EMR's. Attach the letter as part of this SOPQ Package Submittal.

B. Recordable Incident Rate (RIR) and Lost Time Incident Rate (LTIR): Prospective Bidder shall list below and obtain a letter from your insurance carrier (or state fund if applicable) with your RIR and LTIR for last three complete years. Attach the letter as part of this SOPQ Package Submittal.

<u>Year</u>	<u>EMR</u>
Current Year	_____
Previous Year	_____
Year Prior to Previous	_____
Three Year Average	_____

Are the above rates interstate or intrastate? _____
 If intrastate, which state? _____

<u>Year</u>	<u>RIR</u>	<u>LTIR</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
Three Year Average	_____	_____

To verify the above information, the Owner will contact the Prospective Bidder's Workers' Compensation Insurance carrier. The Bidder shall authorize its carrier to release this information. Failure to release this information will result in automatic denial of qualification.

NOTE: Any of the following methods of "obtaining a letter" are acceptable:

- Furnish a letter from your insurance agent, insurance carrier or state fund (on their letterhead) verifying the EMR, RIR, and LTIR data listed above; or
- Furnish a Photostat of the applicable Experience Rating Calculation Sheets, which your insurance carrier should forward to you annually.

34. Within the last five (5) years has there ever been a period when your firm had employees but was without workers' compensation insurance or state-approved self-insurance?

Yes No

If “yes,” please explain the reason for the absence of workers’ compensation insurance on a separate signed page. If “No,” please provide a statement by your current workers’ compensation insurance carrier that verifies periods of workers’ compensation insurance coverage for the last five (5) years. (If your firm has been in the construction business for less than five (5) years, provide a statement by your workers’ compensation insurance carrier verifying continuous workers’ compensation insurance coverage for the period that your firm has been in the construction business.)

H. Prevailing Wage and Apprenticeship Compliance Record

- 35. Has there been more than one occasion during the last five (5) years in which your firm was required to pay either back wages or penalties for your own firm’s failure to comply with the **state’s** prevailing wage laws?

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

Yes No

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

- 36. During the last five (5) years, has there been more than one occasion in which your own firm has been penalized or required to pay back wages for failure to comply with the **federal** Davis-Bacon prevailing wage requirements?

Yes No

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

- 37. At any time during the last five (5) years, has your firm been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

Yes No

If “yes,” provide the date(s) of such findings, and attach copies of the Department’s final decision(s).

PART III. RECENT CONSTRUCTION PROJECTS COMPLETED AND PROJECT MANAGER EXPERIENCE

38. In accordance with Part I, Question 7, the Prospective Bidder must list at least six (6) but not more than (10) projects completed since **September 30, 2005** of the types defined below and meeting the following requirements:
1. The listed projects must have a combined construction value of \$100 million;
 2. At least one of the listed projects must have a construction value of at least \$25 million;
 3. The Prospective Bidder must have self-performed at least 50% of the work on each of the projects; and
 4. All Municipal Wastewater and Water Treatment Plant projects completed in California since September 30, 2005 with a construction value of \$25 million or more must be included in the list. If the Prospective Bidder has more than 10 projects meeting this condition, expand the number of listed projects so that all projects meeting this condition are listed.
 5. At least half of the projects listed must be type "a" or type "b" from the type of acceptable projects defined below.

Types of acceptable reference projects are:

- a. Municipal Wastewater Treatment Plants where the electrical, mechanical and instrumentation systems were part of the Contractor's contract;
- or
- b. Municipal Water Treatment Plants where the electrical, mechanical and instrumentation systems were part of the Contractor's contract;
- or
- c. Municipal Wastewater or Water Pump Stations where the electrical, mechanical and instrumentation systems were part of the Contractor's contract.

The list of projects may include projects currently under construction, but only the total amount paid by the Owner(s) as of **September 30, 2012** on uncompleted project(s) can be included in this summation of construction volume. ***Any projects listed below, which are not as defined above, will not be considered by the Owner in meeting this pre-requisite experience requirement. For example, pipeline projects, and reservoirs are not considered a treatment plant or pump station project.***

A municipal water or wastewater treatment plant project is defined as a project that was engineered and constructed for a municipally owned and operated facility which is designed to remove contaminants, specific constituents, and/or particulates in water and/or wastewater as required by a State issued discharge

permit. Municipal pump stations convey sewage or water to or from these treatment facilities.

Prospective Bidder also certifies that Prospective Bidder self-performed at least fifty percent (50%) of the Work on each of the projects listed below. The Owner considers this level of past self-performance demonstrates a benefit to a Project in terms of better control of cost, schedule and safety.

If the Prospective Bidder is a Joint Venture of two or more companies, each participant in the Joint Venture shall meet this prior project experience requirement and provide project information for each Joint Venture participant in the format found below. In addition, the joint venture must demonstrate that they have prior experience working together as a joint venture on all the projects listed as reference projects listed below.

Prospective Bidders are to complete this form and not attach their own form to their SOPQ submission.

Project #1 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder: _____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance: _____

Brief Description of work performed: _____

Project #2 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder: _____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance: _____

Brief Description of work performed: _____

Project #3 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder:_____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to asses performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance:_____

Brief Description of work performed: _____

Project #4 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder:_____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to asses performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance:_____

Brief Description of work performed: _____

Project #5 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder: _____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance: _____

Brief Description of work performed: _____

Project #6 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder:_____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to asses performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance:_____

Brief Description of work performed: _____

Project #7 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder:_____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to asses performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance:_____

Brief Description of work performed: _____

Project #8 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder: _____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance: _____

Brief Description of work performed: _____

Project #9 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder:_____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to asses performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance:_____

Brief Description of work performed: _____

Project #10 Name: _____

Owner: _____

Owner Contact Person: _____

Construction Final Contract Amount: \$ _____

Construction Contract Time: _____

Date of Substantial Completion: _____

Current Owner Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder:_____

Construction Manager Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to asses performance: _____

Design Engineer Contact Information (Name and current office direct dial or cell phone number) to verify project information provided by Prospective Bidder and to assess performance:_____

Brief Description of work performed: _____

Total Construction Value of the Six to Ten Reference Projects:
\$ _____

Prospective Bidder is to add additional sheets if necessary to be able to provide all information required by condition 38.4 above.

39. The Prospective Bidder shall name below the Project Manager who will be assigned to this Project and submit past related municipal water and/or wastewater treatment plant projects project experience for this person. List three completed wastewater treatment plant projects and/or water treatment plant projects below where the individual named below held the position of Project Manager. One of the listed treatment plant projects must have a final contract amount of at least **\$15 million** where this person held the role of Project Manager. The demonstrated experience of the Project Manager must have been within the last (7) seven years. **This Project Manager must be assigned to the Paso Robles Project site and be personally present on site full-time during Construction.**

Prospective Bidders may submit one or more alternate names for this position of Project Manager in the event the first named person is not available. If the Prospective Bidder elects to name an alternate Project Manager, the Prospective Bidder shall complete and submit another experience form for that individual with this SOPQ Package. Each alternate Project Manager must be clearly designated as an alternate Project Manager and must meet the required minimum level of treatment plant experience defined above as a Project Manager. The list of water treatment plant projects and/or wastewater treatment plant projects completed by any alternate Project Manager must be different than the municipal water and/or wastewater treatment plant projects shown as completed by any other named Project Manager.

Name of Project Manager: _____

Number of Years of Total Construction Experience as a Project Manager of Wastewater/Water Treatment Project: _____

Number of Years as a Project Manager for your company: _____ years

Project #1 Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Engineering Firm: _____

Engineer Contact (name and current phone number):

Construction Manager (firm, name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Project #2 Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Engineering Firm: _____

Engineer Contact (name and current phone number):

Construction Manager (firm, name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Project #3 Name: _____

Location: _____

Owner: _____

Owner Contact (name and current phone number):

Engineering Firm: _____

Engineer Contact (name and current phone number):

Construction Manager (firm, name and current phone number):

Description of Project, Scope of Work Performed:

Total Value of Construction (including change orders): _____

Original Scheduled Completion Date: _____

Time Extensions Granted (number of days): _____

Actual Date of Completion: _____

Qualification and Scoring for Part III

Qualification and scoring of responses to Part III has two components. First the Prospective Bidder must comply with the Essential Requirements for Qualification, Part I, Question 7 & 8. Secondly, the Prospective Bidder's performance on reference projects presented in Part III will be scored based on interviews using questions and scoring criteria presented in Attachment 3.

It is the responsibility of the Prospective Bidder to verify that all previous project contact information listed above is current and accurate. Failure of the Prospective Bidder to provide current and accurate project contact information may be grounds for the Owner to determine the Prospective Bidder as non-responsible and ineligible for further Pre-Qualification consideration. The Owner will not research current contact information on the Prospective Bidder's behalf.

AFFIDAVIT

We, the undersigned, _____ (name) as the authorized representatives for _____ (company) a Prospective Bidder for the **Paso Robles Wastewater Treatment Plant Upgrade project**, do hereby attest that all statements and representations made herein are true and correct to the best of our knowledge. These statements are made openly and freely without intent to influence or embellish actual conditions or circumstances. I declare under penalty of perjury under the laws of the State of California that the foregoing is correct.

We acknowledge that we have received Addenda _____ through _____ .

We understand that the Owner will investigate any and all statements and representations made by us and our firm in this Statement of Qualifications and we freely give our permission for them to do so. Should releases be required by any of our former customers, professional, financial, or bonding institutions to release verification of the enclosed data, we have provided them. We agree to waive any claims against the Owner, Construction Manager, Design Engineer and/or any third party for the release of the information obtained by or provided to the Owner to evaluate this Statement of Qualifications.

We further understand that any false statement or representations, including omissions, made in this application will result in disqualification of our firm as a Bidder for the Project. If it is determined that these false statements or representations were purposefully made to change, hide, or obscure negative information from the Owner in an attempt to qualify under false pretenses, the action will result in loss of eligibility for our firm to qualify for any City of Paso Robles contracts for a minimum period of one (1) year and a maximum period of five (5) years from the date of discovery.

(Name)

(Signature)

(Title)

Attested:

Corporate Seal

(Name)

(Signature)

(Title)

Date _____, 2012

NOTARIZED INSURANCE STATEMENT

We, the undersigned, _____ (name) as the authorized insurance carrier(s) or insurance broker for _____ (company), a Prospective Bidder for the Paso Robles Wastewater Treatment Plant Upgrade Project, do hereby attest that the specified insurance coverages and amounts required in Attachment 1 will be met.

SIGNED and SEALED this _____ day of _____, 2012.

Name (printed) _____

Signature _____
(Signatures must be notarized)

Title _____

Address _____

Phone _____

Email _____

Include Notarization

*****END of SOPQ QUESTIONNAIRE*****

ATTACHMENT 2 – LIST OF THE SCORABLE QUESTIONS AND THE SCORING INSTRUCTIONS

The following scoring system is adopted from the State Department of Industrial Relations (DIR) model.

Two significant modifications have been incorporated:

- More stringent scoring of Prospective Bidder safety performance as reflected in their Worker's Compensation Experience Modification Rate (EMR), Recordable Incident Rate (RIR) and Lost Time Incident Rate (LTIR).
- Interview questions for Referenced Construction Projects and Project Manager experience

A LIST OF THE SCORABLE QUESTIONS AND THE SCORING INSTRUCTIONS

The scorable questions are in three different sections:

Group 1 - History of the business and organizational performance (Part II B-F).

Group 2 - Compliance with occupational safety and health laws, workers' compensation and other labor legislation (Part II G-H).

Group 3 - Referenced Construction Projects Completed and Project Manager Experience – Interview Questions (Interview Questions from Attachment 3 for projects listed in Part III).

The interview questions (interviews by the public agency of project contacts on projects completed recently by the Prospective Bidder) are included in group 3.

Note: Not all questions in the questionnaire are scorable; some questions simply ask for information about the Prospective Bidder firm's structure, officers and history. This document includes only those questions that are "scorable." The question numbers in this document are the numbers used in the questionnaire. Thus, the questions included here begin with question number 6, and there are a few breaks in the numerical sequence.

The Scores Needed for Prequalification

To prequalify, a Prospective Bidder would be required to have a passing grade within each of the three large categories referred to above. (Note: the Prospective must have also "Passed" the Essential Requirements for Qualification set forth in Part I of the SOPQ questionnaire.)

For Group 1, History of the business and organizational performance. The passing total score for Group 1 Questions is **60 points.**

For Group 2, Compliance with occupational safety and health laws, workers' compensation and other labor legislation. The passing total score for Group 2 Questions is **33 points.**

For Group 3, Recent Construction Projects Completed and Project Manager Experience includes a series of interview questions on a minimum of two projects. For the interview questions, DIR

recommends the agency interview project managers for the owners of completed projects. Scoring similar to DIR recommendations will be used. At least two references will be contacted (may be selected from Prospective Bidder Experience or Project Manager Experience). For each interview the maximum score is 130 points. For these questions, a score of **85 points** or more on more than half of the interviews conducted is required for pre-qualification; a denial of pre-qualification will be given for a Prospective Sub-Bidder whose score on any interview is less than 70 points; and additional interviews with other references will be completed if the score resulting from interviews is between 70 points and 85 points.

Group I — Questions about History of the Business and Organizational Performance (from Questionnaire Part II B-F.) (16 questions)

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

less than 3 years = 0 points
3 to 4 years = 2 points
4 to 5 years = 3 points
5 to 6 years = 4 points
6 years or more = 5 points

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

Yes No

“No” = 3 points” “Yes” = 0 points

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

Yes No

“No” = 3 points” “Yes” = 0 points

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

Yes No

No = 5 points Yes = 0 points

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

Yes No

No projects with liquidated damages of more than \$50,000, or one project with liquidated damages = 5 points;
Two projects with liquidated damages of more than \$50,000 each = 3 points;
Any other answer = 0 points

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

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

Yes No

No = 5 points Yes = 0 points

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

Yes No

No = 5 points Yes = 0 points

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

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

Yes No

If the firm's average gross revenue for the last three years was less than \$50 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1 such instance.

2 points for "Yes" indicating 2 such instances.

Subtract 2 points for "Yes" if more than 2 such instances.

If your firm's average gross revenue for the last three years was more than \$50 million, scoring is as follows:

5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.

2 points for "Yes" indicating either 4 or 5 such instances.

Subtract 2 points for "Yes" if more than 5 such instances.

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

Yes No

If your firm's average gross revenues for the last three years were less than \$50 million scoring is as follows:

**5 points for either “No” or “Yes” indicating 1 such instance.
2 points for “Yes” indicating 2 such instances.
Subtract 2 points for “Yes” if more than 2 such instances.**

If your firm’s average gross revenues for the last three years were more than \$50 million, scoring is as follows:

**5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances.
2 points for “Yes” indicating either 4 or 5 such instances.
Subtract 2 points for “Yes” if more than 5 such instances.**

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

Yes No

**5 points for “No”.
3 points for “Yes” indicating no more than 2 such claims.
Subtract five points for “Yes” if more than 2 such claims.**

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

Yes No

**5 points for either “No” or “Yes” indicating 1 such instance.
3 points for “Yes” indicating 2 such instances.
0 points for “Yes” or if more than 2 such instances.**

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

Yes No

No = 5 points Yes = subtract 5 points

22. Has your firm or any of its owners, officers or partners ever been convicted of a crime involving any federal, state, or local law related to misrepresentations, business practices and/or taxation?

Yes No

No = 5 points Yes = subtract 5 points

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

Yes No

No = 5 points Yes = subtract 5 points

25. If your firm was required to pay a premium of more than one percent (1%) for a performance and payment bond on any project(s) on which your firm worked at any time during the last three years, state the percentage that your firm was required to pay. You may provide an explanation for a percentage rate higher than one percent (1%), if you wish to do so.

_____ %

5 points if the rate is no more than one percent

3 points if the rate was no higher than 1.10 percent

0 points for any other answer.

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

Yes No

No = 5 points Yes = 0 points

Group 2— Questions about compliance with safety, workers compensation, prevailing wage and apprenticeship laws. (from Questionnaire Part II G-H) (9 questions)

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

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

Yes No

If the firm’s average gross revenues for the last three years were less than \$50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1 such instance.

3 points for “Yes” indicating 2 such instances.

0 points for “Yes” if more than 2 such instances.

If the firm’s average gross revenues for the last three years were more than \$50 million, scoring is as follows:

5 points for either “No” or “Yes” indicating 1, 2, or 3 such instances.

3 points for “Yes” indicating either 4 or 5 such instances.

0 points for “Yes” if more than 5 such instances.

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

Note: If you have filed an appeal of a citation and the appropriate appeals Board has not yet ruled on your appeal, you need not include information about it.

Yes No

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

If the firm's average gross revenues for the last three years were less than \$50 million, scoring is as follows:

***5 points for either "No" or "Yes" indicating 1 such instance.
3 points for "Yes" indicating 2 such instances,
0 points for "Yes" or if more than 2 such instances.***

If the firm's average gross revenues for the last three years were more than \$50 million, scoring is as follows:

***5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.
3 points for "Yes" indicating either 4 or 5 such instances.
0 points for "Yes" if more than 5 such instances.***

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

If the firm's average gross revenues for the last three years were less than \$50 million, scoring is as follows:

***5 points for either "No" or "Yes" indicating 1 such instance
3 points for "Yes" indicating 2 such instances.
0 points for "Yes" or if more than 2 such instances.***

If the firm's average gross revenues for the last three years were more than \$50 million, scoring is as follows:

***5 points for either "No" or "Yes" indicating 1, 2, or 3 such instances.
3 points for "Yes" indicating either 4 or 5 such instances.
0 points for "Yes" or if more than 5 such instances.***

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

***3 points for an answer of once each week or more often.
0 points for any other answer***

33. Insurance Rating factor: Experience Modification Rate (EMR), Recordable Incident Rate (RIR), and Lost Time Incident Rate (LTIR).

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

**5 points for three-year average EMR of 1.10 or less;
3 points for three-year average EMR greater than 1.10 but no more than 1.25 and a three-year average RIR not greater than 3.3 and a three-year average LTIR not greater than 1.4.
Disqualification for not meeting criteria of Part I question 4**

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

Yes No

**5 points for either "No" or "Yes" indicating 1 such instance
0 points for any other answer.**

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

Yes No

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

If your firm's average gross revenues for the last three years were less than \$50 million, scoring is as follows:

**5 points for either "No," or "Yes" indicating either 1 or 2 such instances.
3 points for "Yes" indicating 3 such instances.
0 points for "Yes" and more than 3 such instances.**

If your firm's average gross revenues for the last three years were more than \$50 million, scoring is as follows:

**5 points for either "No" or "Yes" indicating no more than 4 such instances.
3 points for "Yes" indicating either 5 or 6 such instances,
0 points for "Yes" and more than 6 such instances.**

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

Yes No

If your firm's average gross revenues for the last three years were less than \$50 million, scoring is as follows:

**5 points for either "No," or "Yes" indicating either 1 or 2 such instance.
3 points for "Yes" indicating 3 such instances.
0 points for "Yes" and more than 3 such instances.**

If your firm's average gross revenues for the last three years were more than \$50 million, scoring is as follows:

**5 points for either “No” or “Yes” indicating no more than 4 such instances.
3 points for “Yes” indicating either 5 or 6 such instances.
0 points for “Yes” and more than 6 such instances.**

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

Yes No

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

If your firm’s average gross revenues for the last three years were less than \$50 million, scoring is as follows:

**5 points for either “No,” or “Yes” indicating either 1 or 2 such instances.
3 points for “Yes” indicating 3 such instances.
0 points for “Yes” and more than 3 such instances.**

If your firm’s average gross revenues for the last three years were more than \$50 million, scoring is as follows:

**5 points for either “No” or “Yes” indicating no more than 4 such instances.
3 points for “Yes” indicating either 5 or 6 such instances.
0 points for “Yes” and more than 6 such instances.**

Group 3 — Questions concerning recent construction projects completed and Project Manager Experience (from Interview Questions Attachment 3): (Refer to Part III and Attachments 3 & 4 for scoring criteria.)

ATTACHMENT 3

PROJECT EXPERIENCE – INTERVIEW QUESTIONS

The Owner will conduct the interviews. No action on the Prospective Bidder's part is necessary. These questions are included in the package to the Prospective Bidder for information only.

The following questions will be used to interview randomly selected contacts for at least two (2) reference projects (may be selected from Prospective Bidder experience or Project Manager Experience). The highest possible interview score is 130 points for each interview. A score of less than 70 points disqualifies a Contractor from bidding on the Project. A score of between 70 and 85 on interviews conducted will result in the consideration of additional surveys. To pre-qualify, a score of at least 85 for more than half the interviews conducted is required.

First, please give a brief description of the project.

1. Are there any outstanding stop notices, liens, or claims by the Prospective Bidder that are currently unresolved on contracts for which notices of completion were recorded more than 120 days ago? (1 point for each is deducted from overall score; maximum amount to be deducted is 5 points).
2. On a scale of 1-10, with 10 being the best, did the Prospective Bidder provide adequate personnel? (Max. 10 points)
3. On a scale of 1-10, with 10 being the best, did the Prospective Bidder provide adequate supervision? (Max. 10 points)
4. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job? (Max. 10 points)
5. On a scale of 1-10, with 10 being the best, was the Prospective Bidder timely in providing reports and other paperwork, including change order paperwork and scheduling updates? (Max. 10 points)
6. On a scale of 1-10, with 10 being the best, did the Prospective Bidder adhere to the project schedule that your (agency) (business) approved? (Max. 10 points)
7. Was the project completed on time? (10 points if the answer is "Yes")
Or, if the answer is "no", on a scale of 1-10, with 10 being the least responsible, to what extent was the Prospective Bidder responsible for the delay in completion? (Max. 10 points)

8. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder on the timely submission of reasonable cost and time estimates to perform change order work. (Max. 10 points)
9. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder on how well the Prospective Bidder performed the work after a change order was issued and how well the Prospective Bidder integrated the change order work into existing work. (Max. 10 points)
10. On a scale of 1-10, with 10 being the best, rate how the Prospective Bidder performed in turning in Operations & Maintenance manuals, completing as-built drawings, providing required training and taking care of warranty items? (Max. 10 points)
11. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder on whether there were a high number of claims, given the nature of the project, or difficulty in resolving them. (Max. 10 points)
12. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder with respect to timely payments by the Prospective Bidder to subcontractors and suppliers. (If the person being interviewed knows of no such difficulties, the score on this question should be "10.")
13. On a scale of 1-10, with 10 being the best, rate the Prospective Bidder with respect to safety. Was shoring provided properly, were lock / out tag out procedures followed, did the Prospective Bidder provide routine safety training? (Max. 10 points)
14. On a scale of 1-10, with 10 being the best, how would you rate the overall quality of the Prospective Bidder's work? (Max. 10 points)

(130 Points = highest ratings on all questions)

* * * * *

ATTACHMENT 4

CITY OF PASO ROBLES

WASTEWATER TREATMENT PLANT UPGRADE PROJECT

**GENERAL CONTRACTOR
PRE-QUALIFICATION EVALUATION**

Prospective Bidder's Name: _____

	Evaluation Criteria	Required Rating/Score	Score	Rating
Part I:	Essential Requirements	Pass	N/A	Pass / Fail (circle one)
Part II: B - F	History of Business and Organizational Performance	60 points		Pass / Fail (circle one)
Part II: G - H	Safety, Prevailing Wage and Apprenticeship	33 points		Pass / Fail (circle one)
Part IV:	Project Experience – Interview Questions	85 points		Pass / Fail (circle one)

To qualify the Prospective Bidder must "Pass" all scoring categories.

Is this Prospective Bidder Pre-Qualified: **Yes** or **No** (circle one)

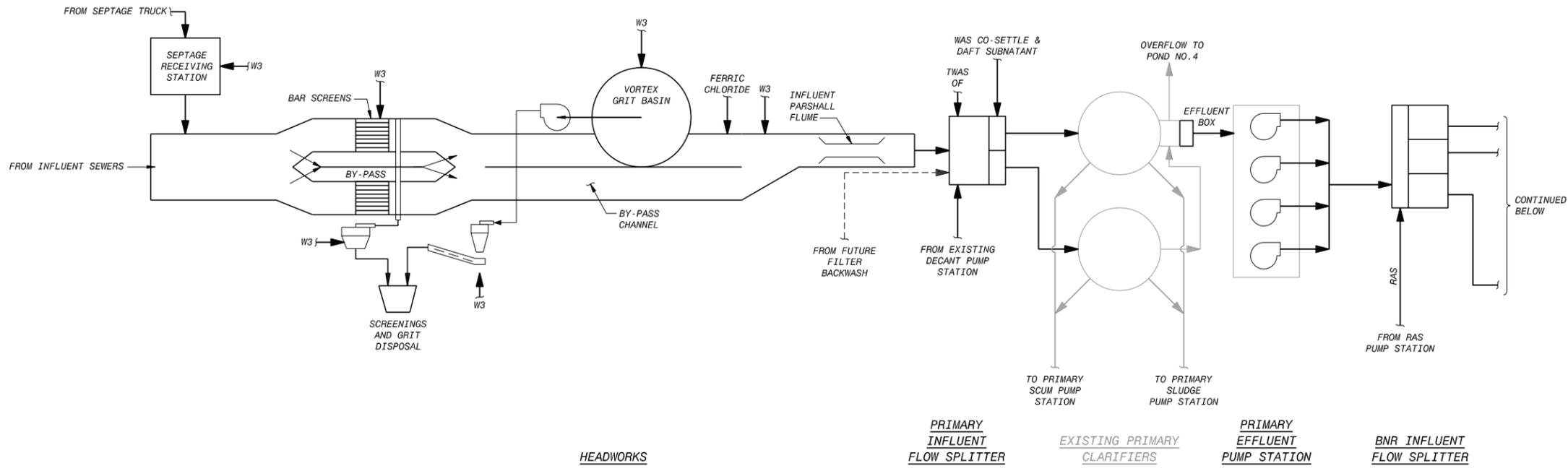
Note: This Form will be completed by the Owner and is provided in the SOPQ package for reference.

*****END OF DOCUMENT*****

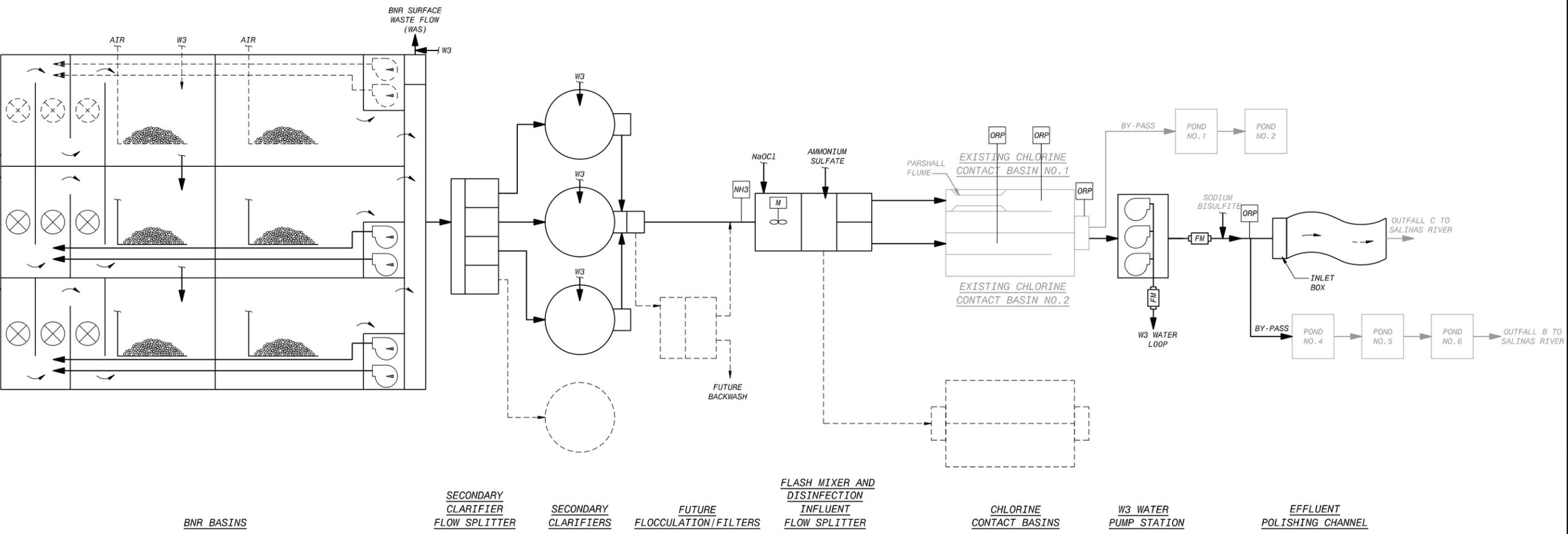
ATTACHMENT 5

GENERAL REFERENCE DRAWINGS

1. Drawing CY102: Overall Site Plan
2. Drawing G-004: Process Flow Diagram Liquid Stream
3. Drawing G-005: Process Flow Diagram Residuals Stream
4. Drawing DY001 – DY103: Demolition Plan Phase I
5. Drawing DY104 – DY106: Demolition Plan Phase II
6. Drawing EY101: Power Distribution Functional Diagram
7. Drawing EY102: Overall Site Plan (Electrical)



NOTES:
 1. FUTURE FACILITIES AND EQUIPMENT ARE SHOWN IN DASHED LINES.
 2. EXISTING FACILITIES ARE SHOWN IN SCREENED LINES.



03/11	100% DESIGN SUBMITTAL	NO.	BY	CHK	APP
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	WF: G-004.dwg	XREF2:			
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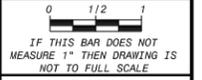


BLACK & VEATCH
 Black & Veatch Corporation
 Walnut Creek, California

**CITY OF PASO ROBLES
 WASTEWATER TREATMENT PLANT UPGRADE**

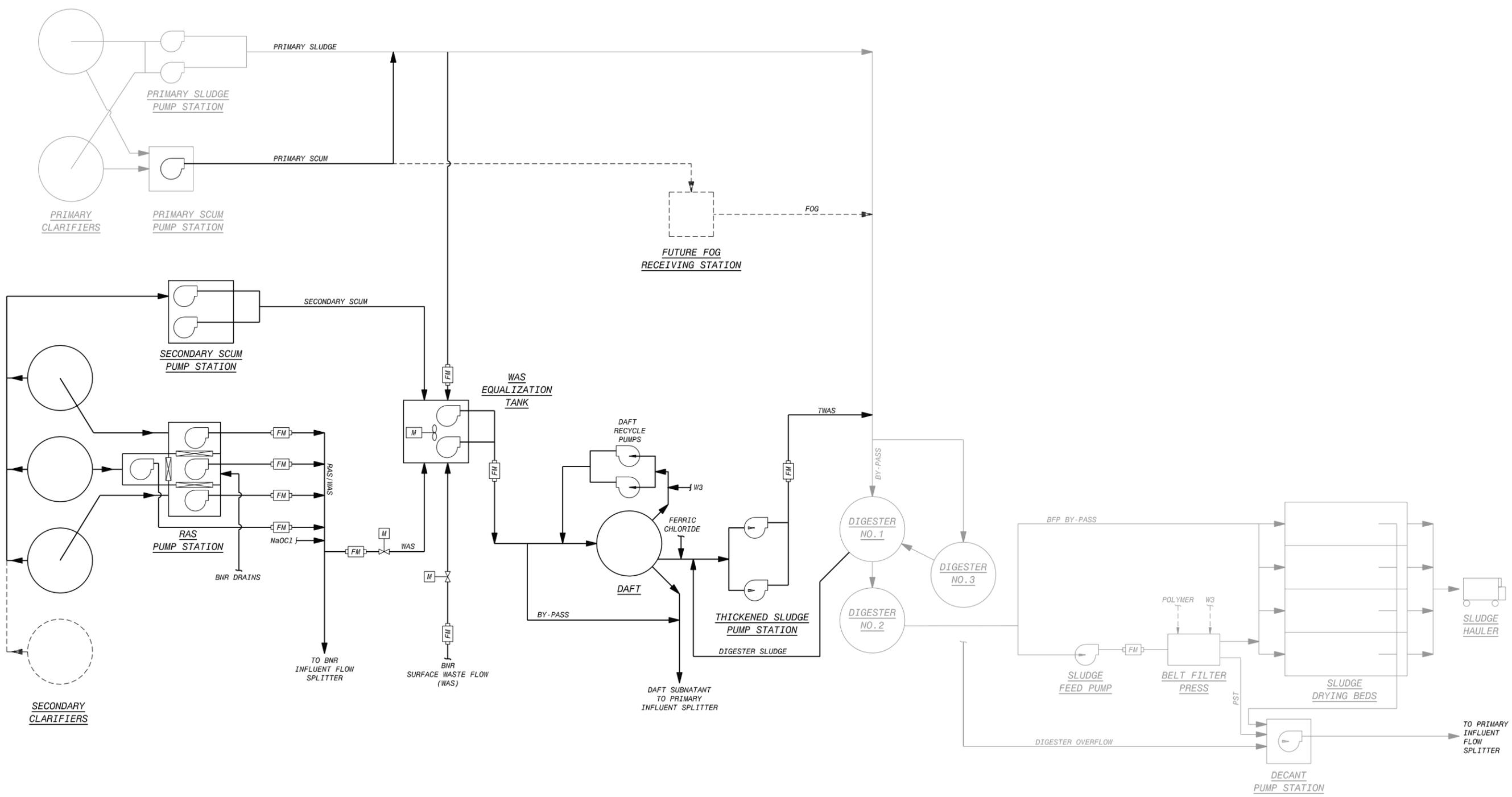
GENERAL
 PROCESS FLOW DIAGRAM
 LIQUID STREAM

DESIGNED:	KNA, FYC
DETAILED:	HH
CHECKED:	RWF
APPROVED:	JTE
DATE:	3/11/11
PROJECT NO.	162100
G-004	SHEET
	5 OF 298



03/11/11
 162100

- NOTES:**
1. FUTURE FACILITIES AND EQUIPMENT ARE SHOWN IN DASHED LINES.
 2. EXISTING FACILITIES ARE SHOWN IN SCREENED LINES.



NO.	BY	CHK	APP
03/11			

100% DESIGN SUBMITTAL
 REVISIONS AND RECORD OF ISSUE
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 XREF2:
 XREF3:
 XREF4:
 XREF5:

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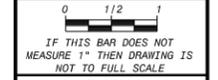


BLACK & VEATCH
 Black & Veatch Corporation
 Walnut Creek, California

**CITY OF PASO ROBLES
 WASTEWATER TREATMENT PLANT UPGRADE**

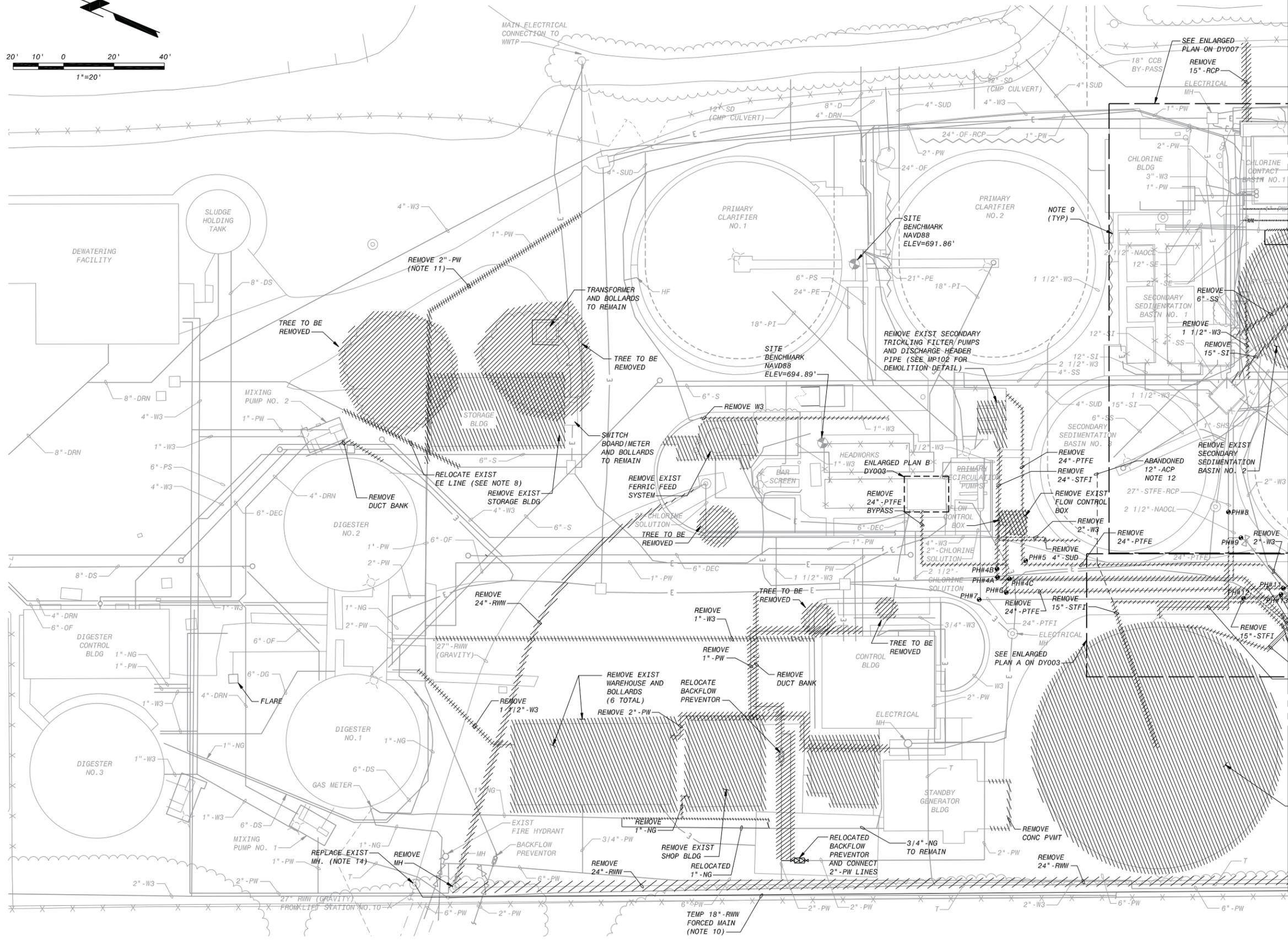
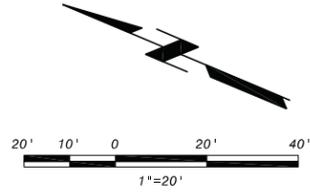
GENERAL
 PROCESS FLOW DIAGRAM
 RESIDUALS STREAM

DESIGNED:	KNA, FYC
DETAILED:	HH
CHECKED:	RWF
APPROVED:	JTE
DATE:	3/11/11



PROJECT NO.
 162100

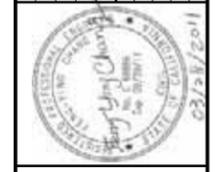
G-005
 SHEET
 OF 298



DEMOLITION NOTES:

1. FOR DETAILS, PLANS AND SECTIONS OF THE EXISTING FACILITIES, SEE REFERENCE DRAWINGS IN APPENDIX D-2.
2. CONTRACTOR SHALL LOCATE ALL SURROUNDING PIPING AND CONDUITS ASSOCIATED WITH THE FACILITIES. PIPING AND CONDUITS NOT IN USE SHALL BE REMOVED. PIPING AND CONDUITS IN USE SHALL BE PROTECTED OR TEMPORARILY RELOCATED AS REQUIRED.
3. ALL STRUCTURES AND EQUIPMENT DAMAGED BY THE CONTRACTOR WHICH ARE TO REMAIN IN USE SHALL BE REPAIRED AT THE CONTRACTOR'S EXPENSE AND IN A MANNER SATISFACTORY TO THE ENGINEER.
4. EXCAVATION FOR DEMOLITION BEYOND WHAT IS REQUIRED FOR CONSTRUCTION OF NEW FACILITIES SHALL BE REPLACED WITH BACKFILL PRIOR TO CONSTRUCTION OF THE NEW FACILITIES AS REQUIRED BY THE SPECIFICATIONS.
5. REFER TO SPECIFICATION 01015 FOR SALVAGE REQUIREMENTS FOR MATERIALS AND EQUIPMENT.
6. DEMOLISHED CONCRETE AND FILTER BLOCKS CAN BE RECYCLED FOR ROAD BASE OR FILL REQUIRED FOR CONSTRUCTION OF THE EFFLUENT POLISHING CHANNEL, PROVIDED THE RESULTANT PRODUCTS MEET THE SPECIFICATION REQUIREMENTS FOR ITS INTENDED USE. SALVAGED TRICKLING FILTER ROCKS FROM SECONDARY TRICKLING FILTER NO. 1 AND NO. 2 CAN BE INCORPORATED INTO RIFLE AND BANK STABILIZATION OF THE EFFLUENT POLISHING CHANNEL. ALL OTHER MATERIALS SHALL BE COMPLETELY REMOVED FROM THE SITE.
7. CAP OPEN ENDS OF ALL PIPES UNLESS OTHERWISE NOTED.
8. CONTRACTOR SHALL DEMOLISH EXISTING DUCT BANK AND RE-ROUTE NEW DUCT BANK AS SHOWN ON ELECTRICAL DRAWINGS.
9. APPROXIMATE LENGTH AND LOCATION OF SHORING INSTALLED AS PART OF 1987 ADDITION PROJECT SHOWN. DEPTH AND CONDITION UNKNOWN.
10. CONTRACTOR SHALL PROVIDE AND MAINTAIN A TEMPORARY 18\"/>

24\"/>



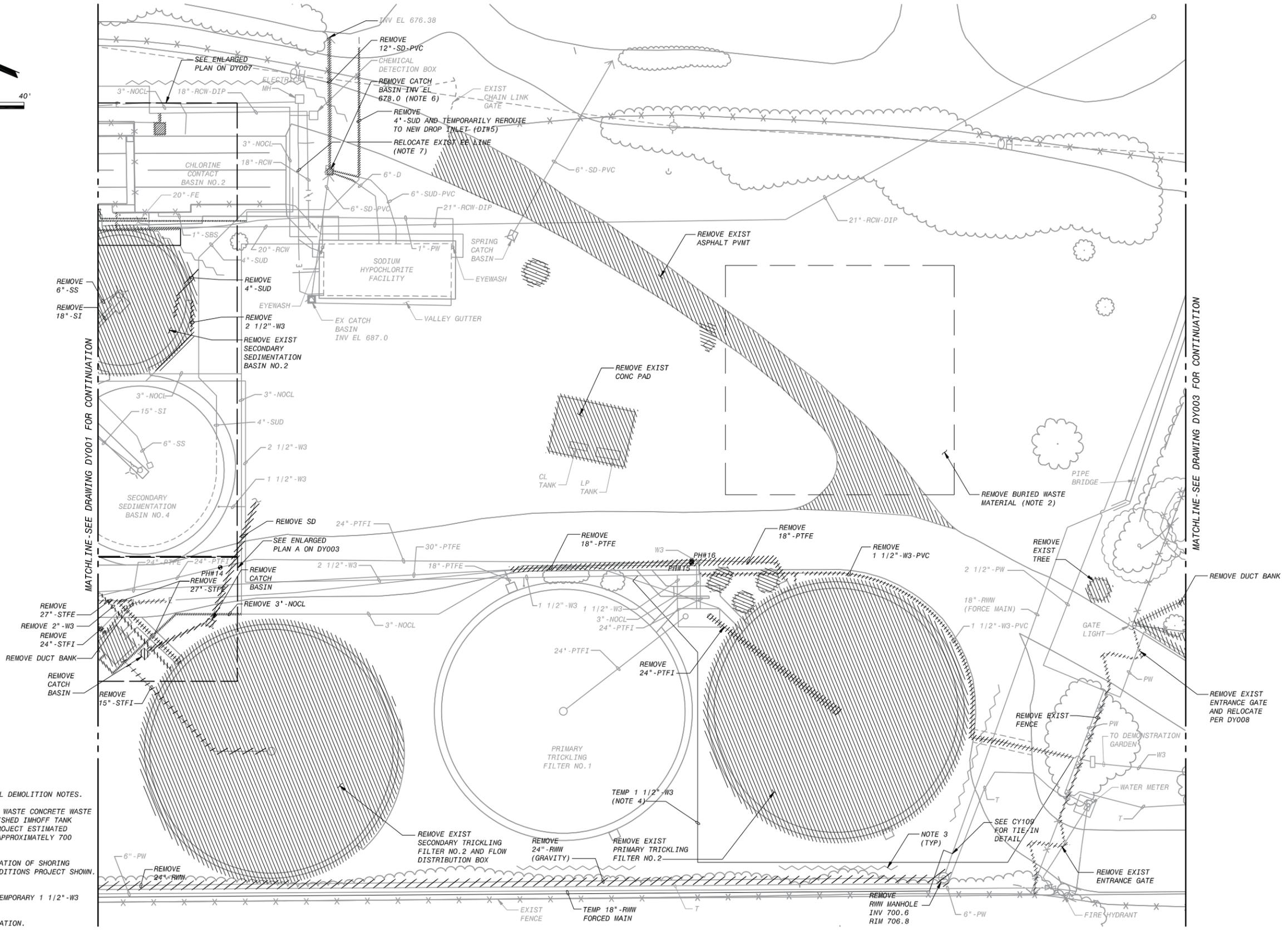
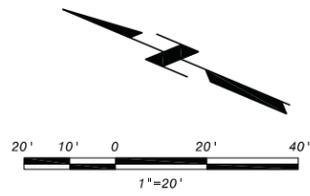
BLACK & VEATCH
 Black & Veatch Corporation
 Walnut Creek, California

CITY OF PASO ROBLES
WASTEWATER TREATMENT PLANT UPGRADE
 CIVIL
 DEMOLITION PLAN PHASE I
 1 OF 3

DESIGNED:	FYC/BGP
DETAILED:	BGP
CHECKED:	RWF
APPROVED:	JTE
DATE:	2/12/2011

PROJECT NO.
 162100
DY001
 SHEET
 9 OF 298

FD162100
 D162100



NOTES:

1. SEE DRAWING DY001 FOR GENERAL DEMOLITION NOTES.
2. APPROXIMATE AREA FILLED WITH WASTE CONCRETE WASTE ASPHALT AND REBAR FROM DEMOLISHED IMHOFF TANK FROM THE 1987 CONSTRUCTION PROJECT ESTIMATED VOLUME OF CONCRETE WASTE IS APPROXIMATELY 700 CUBIC YARDS.
3. APPROXIMATELY LENGTH AND LOCATION OF SHORING INSTALLED AS PART OF 1987 ADDITIONS PROJECT SHOWN. DEPTH AND CONDITION UNKNOWN.
4. CONTRACTOR SHALL PROVIDE A TEMPORARY 1 1/2\"-W3 PIPE DURING CONSTRUCTION.
5. SEE DY003 FOR POTHOLE INFORMATION.
6. CONTRACTOR SHALL INSTALL THE NEW DROP INLET (DI#5), PLACE NEW 12\"-SD-PVC TO POND#2 AND REROUTE THE EXISTING DRAINS AS SHOWN ON CY009 BEFORE THE DEMOLITION OF EXISTING CATCH BASIN AND DRAIN PIPES.
7. CONTRACTOR SHALL FIELD VERIFY CIRCUITS IN EXISTING DUCT BANK AND RE-ROUTE CIRCUITS IN NEW DUCT BANK TO MATCH THE EXISTING INSTALLATION. NEW DUCT BANK SHALL BE ROUTED AS SHOWN ON ELECTRICAL SITE PLAN DRAWINGS. CONTRACTOR SHALL PULL EXISTING CABLES TO THE NEAREST MANHOLE AND MAKE SPLICES WITH NEW CABLES.

NO.	BY	CHK	APP
03/11			

100% DESIGN SUBMITTAL

REVISIONS AND RECORD OF ISSUE

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CITY OF PASO ROBLES

WASTEWATER TREATMENT PLANT UPGRADE

CIVIL
DEMOLITION PLAN PHASE I
2 OF 3

DESIGNED:	FYC/BGP
DETAILED:	BGP
CHECKED:	RWF
APPROVED:	JTE
DATE:	2/22/2011

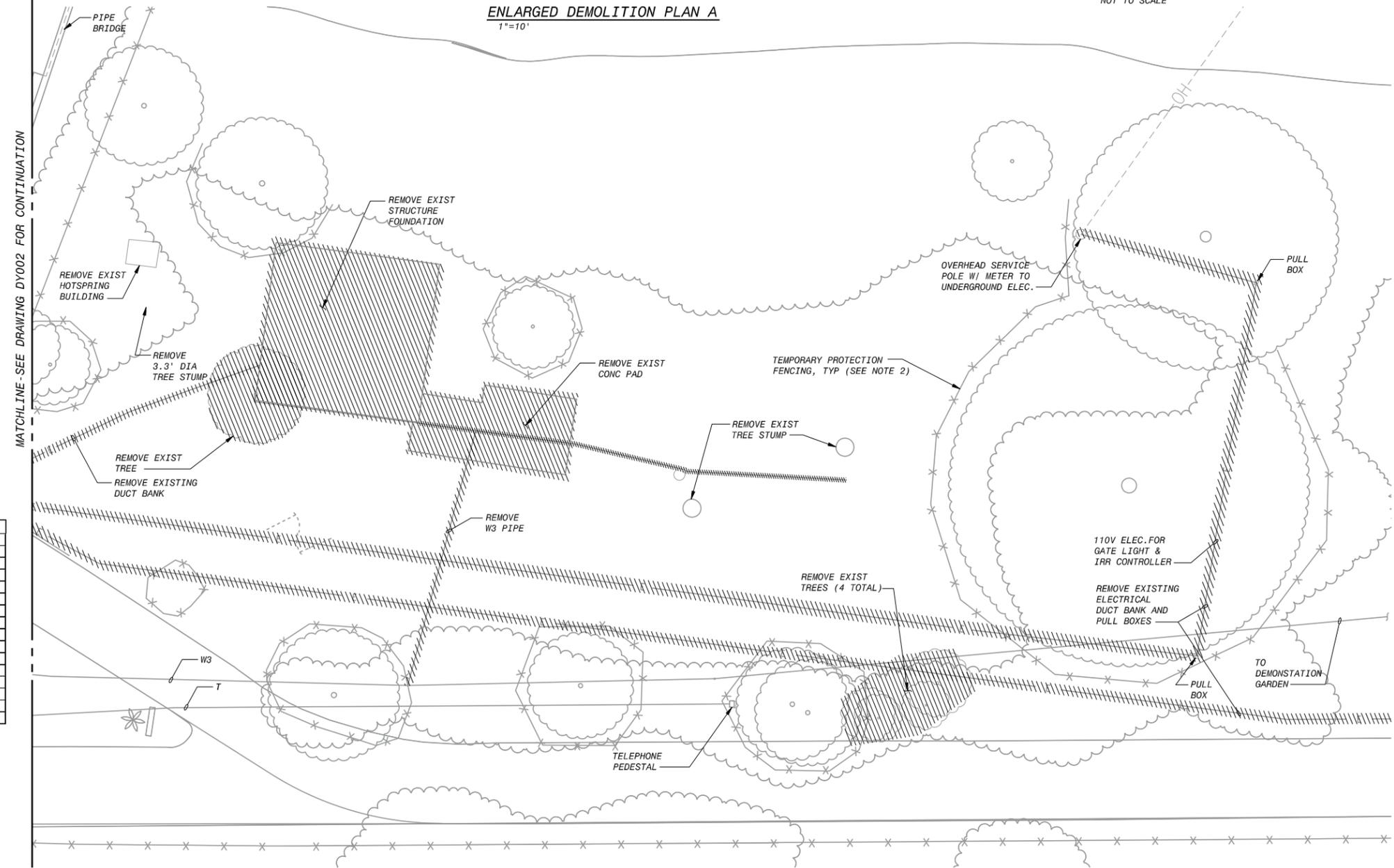
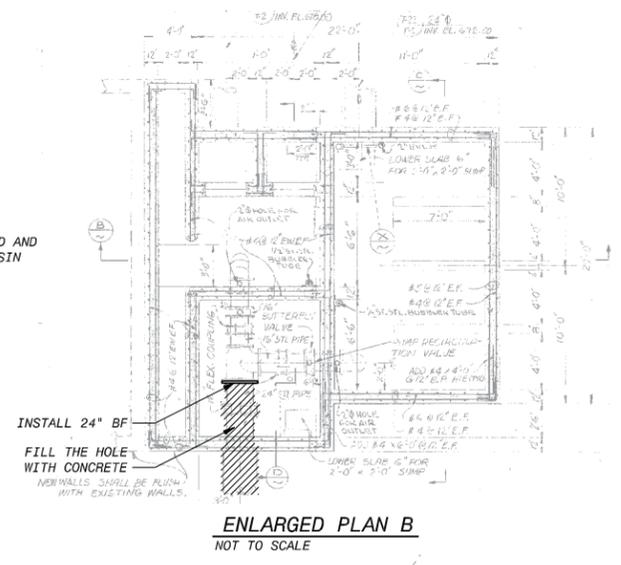
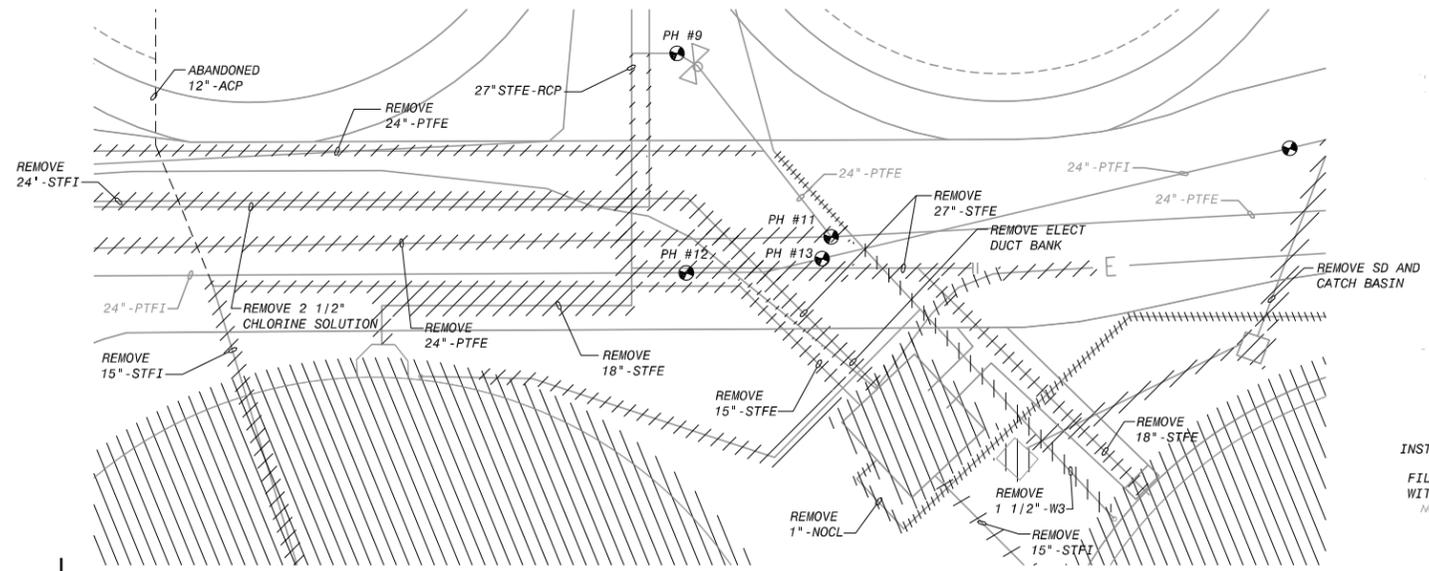
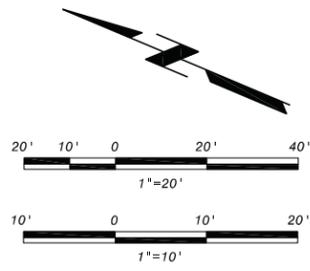
PROJECT NO.
162100

DY002
SHEET
10 OF 298

MATCHLINE-SEE DRAWING DY003 FOR CONTINUATION

MATCHLINE-SEE DRAWING DY001 FOR CONTINUATION

DY002.dwg
01/16/2010



POTHOLE TABLE					
Pipe ID	Coordinate	Coordinate		NOTES	
		Northing	Easting		
PH#4B	24"-STFI	51170.96	99557.43	691.97±	3.25' TO TOP PIPE
PH#4A	24"-STFI	51169.5	99554.47	692.63±	2.50' TO TOP RED SLURRY
PH#4C	24"-STFI	51164.89	99555.71	692.28±	3.24' TO TOP PIPE
PH#5	24"-PTFE	51161.72	99564.84	689.7±	5.51' TO TOP CONC DUCT
PH#6	24"-PTFE	51163.94	99550.25	689.24±	6.30' TO TOP CONC DUCT
PH#7	24"-PTFI	51172.78	99543.5	692±	-
PH#8	27"-STFE-RCP	51095.02	99613.82	687.28±	9.50' TO TOP PIPE
PH#9	24"-PTFE	51086.5	99606.33	687.49±	9.57' TO TOP PIPE
PH#11	30"-PTFE	51063.2	99594.42	691.49±	6.05' TO TOP PIPE @ WYE
PH#12	24"-PTFI	51076.28	99584.66	692.49±	4.55' TO TOP PIPE
PH#13	24"-PTFI	51063.19	99591.84	694.91±	TOP PIPE @ FITTING
PH#14	24" PTFI	51020.71	99622.76	695.99±	TOP PIPE
PH#15	24" PTFI	50850.54	99696.17	698.4±	TOP PIPE
PH#16	18"-PTFE	50850.89	99697.25	690.95±	9.75' TO TOP PIPE

NOTE:

- SEE DRAWING DY001 FOR GENERAL DEMOLITION NOTES.
- CONTRACTOR SHALL INSTALL TEMPORARY TREE PROTECTION FENCING PER TREE PRESERVATION PLAN. SEE SPECIFICATION SECTION 01500 FOR ADDITIONAL REQUIREMENTS.

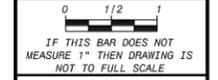
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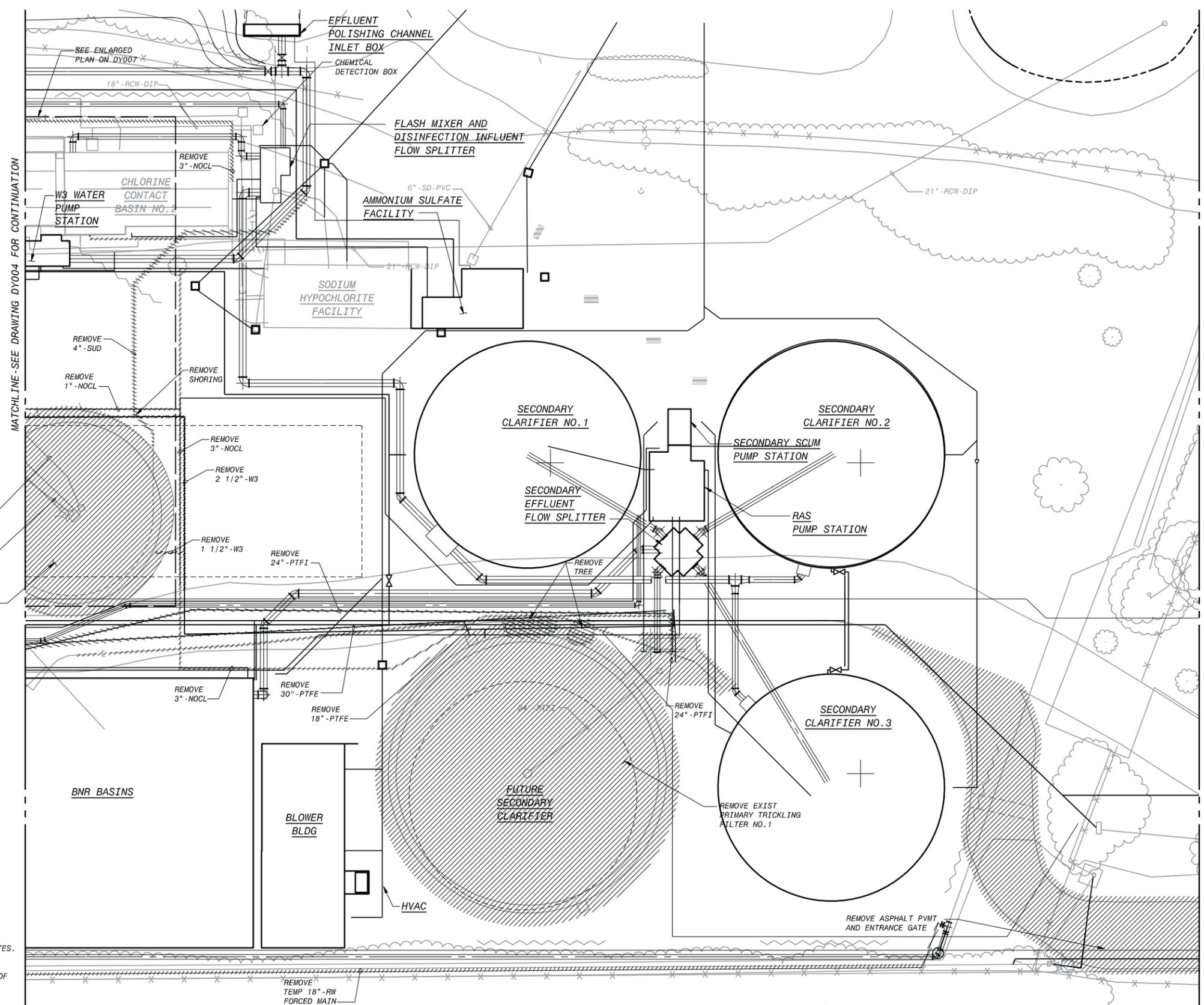
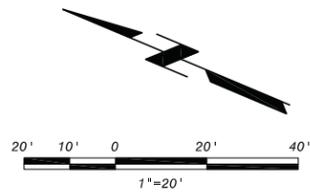
BLACK & VEATCH
 Black & Veatch Corporation
 Walnut Creek, California

CITY OF PASO ROBLES
 WASTEWATER TREATMENT PLANT UPGRADE
 CIVIL
 DEMOLITION PLAN PHASE I
 3 OF 3

DESIGNED: FYC/BGP
 DETAILED: BGP
 CHECKED: RWF
 APPROVED: JTE
 DATE: 2/22/2011



PROJECT NO.
 162100
DY003
 SHEET
 1 OF 298



- NOTES:**
- SEE DRAWING DY001 FOR GENERAL DEMOLITION NOTES.
 - THE PHASE II DEMOLITION WORK SHALL NOT BE PERFORMED UNTIL THE SUBSTANTIAL COMPLETION OF NEW FACILITIES. SEE SPECIFICATION SECTION 01100 FOR CONSTRUCTION WORK RESTRICTIONS.

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03/11	100% DESIGN SUBMITTAL		
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CITY OF PASO ROBLES
 WASTEWATER TREATMENT PLANT UPGRADE
 CIVIL DEMOLITION PLAN
 2 OF 3

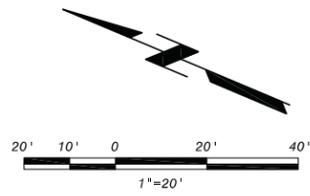
DESIGNED:	FYC/BGP
DETAILED:	BGP
CHECKED:	RWF
APPROVED:	JTE
DATE:	2/22/2011

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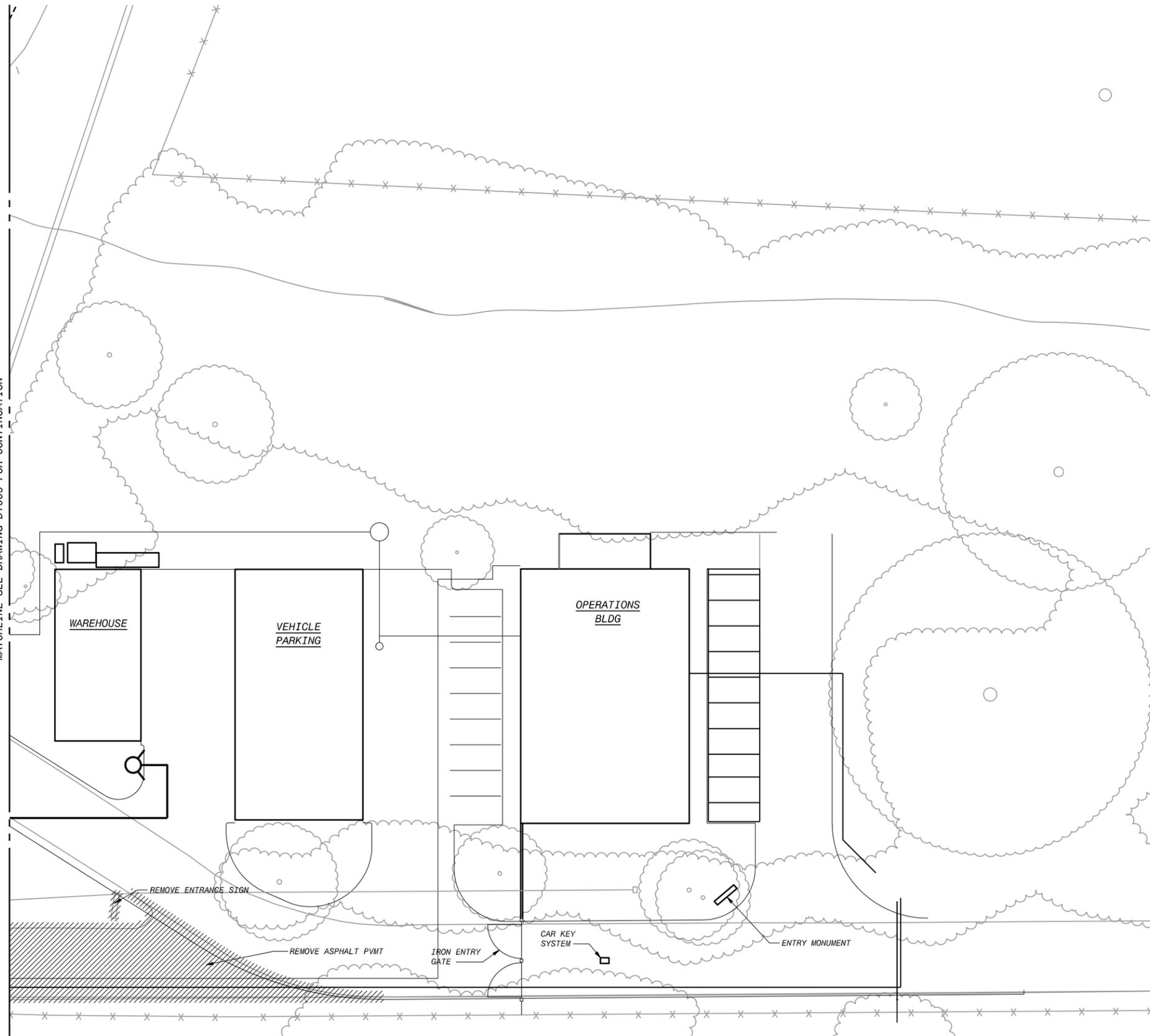
PROJECT NO.
 162100

DY005
 SHEET
 13 OF 298

FD162100
 DT162100



MATCHLINE-SEE DRAWING DY005 FOR CONTINUATION



NOTES:

1. SEE DRAWING DY001 FOR GENERAL DEMOLITION NOTES.
2. THE PHASE II DEMOLITION WORK SHALL NOT BE PERFORMED UNTIL THE SUBSTANTIAL COMPLETION OF NEW FACILITIES. SEE SPECIFICATION SECTION G1100 FOR CONSTRUCTION WORK RESTRICTIONS.

NO.	BY	CHK	APP
03/11			

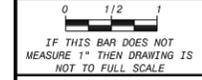
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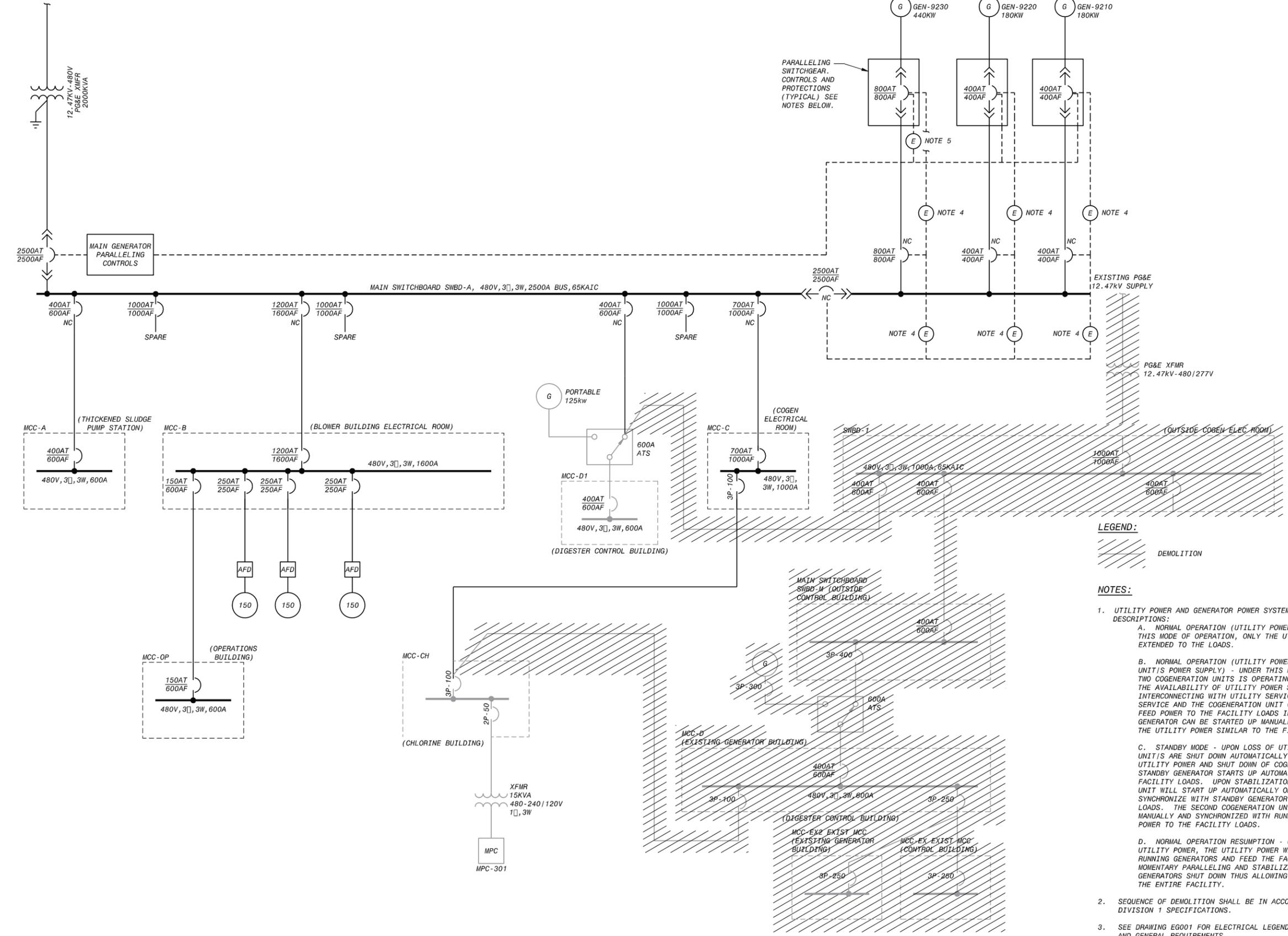
CITY OF PASO ROBLES
WASTEWATER TREATMENT PLANT UPGRADE
 CIVIL
 PHASE II DEMOLITION PLAN
 3 OF 3

DESIGNED:	FYC/BGP
DETAILED:	BGP
CHECKED:	RWF
APPROVED:	JTE
DATE:	2/22/2011



PROJECT NO.
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DY006
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PG&E 12.47KV POWER SUPPLY



LEGEND:
 DEMOLITION

- NOTES:**
- UTILITY POWER AND GENERATOR POWER SYSTEMS - ELECTRICAL FUNCTIONAL DESCRIPTIONS:
 - NORMAL OPERATION (UTILITY POWER SUPPLY ONLY) - UNDER THIS MODE OF OPERATION, ONLY THE UTILITY POWER SUPPLY IS EXTENDED TO THE LOADS.
 - NORMAL OPERATION (UTILITY POWER SUPPLY AND COGENERATION UNIT'S POWER SUPPLY) - UNDER THIS MODE OF OPERATION, ONE OF TWO COGENERATION UNITS IS OPERATING ON BIOGAS AND SENSING THE AVAILABILITY OF UTILITY POWER SUPPLY THUS INTERCONNECTING WITH UTILITY SERVICE. BOTH THE UTILITY SERVICE AND THE COGENERATION UNIT GENERATOR POWER SUPPLY FEED POWER TO THE FACILITY LOADS IN PARALLEL. THE SECOND GENERATOR CAN BE STARTED UP MANUALLY AND SYNCHRONIZED WITH THE UTILITY POWER SIMILAR TO THE FIRST GENERATOR.
 - STANDBY MODE - UPON LOSS OF UTILITY POWER, COGENERATION UNIT'S ARE SHUT DOWN AUTOMATICALLY. SENSING LOSSES OF UTILITY POWER AND SHUT DOWN OF COGENERATION UNIT'S, THE STANDBY GENERATOR STARTS UP AUTOMATICALLY AND FEEDS THE FACILITY LOADS. UPON STABILIZATION, THE FIRST COGENERATION UNIT WILL START UP AUTOMATICALLY ON NATURAL GAS AND SYNCHRONIZE WITH STANDBY GENERATOR AND FEED THE FACILITY LOADS. THE SECOND COGENERATION UNIT CAN BE STARTED UP MANUALLY AND SYNCHRONIZED WITH RUNNING GENERATORS AND FEED POWER TO THE FACILITY LOADS.
 - NORMAL OPERATION RESUMPTION - UPON RESUMPTION OF UTILITY POWER, THE UTILITY POWER WILL SYNCHRONIZE WITH THE RUNNING GENERATORS AND FEED THE FACILITY LOADS. AFTER MOMENTARY PARALLELING AND STABILIZATION PERIOD, THE RUNNING GENERATORS SHUT DOWN THUS ALLOWING THE UTILITY POWER TO FEED THE ENTIRE FACILITY.
 - SEQUENCE OF DEMOLITION SHALL BE IN ACCORDANCE WITH PROJECT DIVISION 1 SPECIFICATIONS.
 - SEE DRAWING EG001 FOR ELECTRICAL LEGEND & ABBREVIATIONS AND GENERAL REQUIREMENTS.
 - ELECTRICAL INTERLOCKING SHALL BE PROVIDED TO ENSURE THAT TIE-BREAKERS ARE CLOSED FOR GENERATORS PARALLELING OPERATION ON OPENING OF ANY OF THESE BREAKERS SHALL BE ALARMED.
 - ELECTRICAL INTERLOCKING SHALL BE PROVIDED TO PREVENT INCOMING CIRCUIT BREAKER AND STANDBY GENERATOR FROM BEING CLOSED AT THE SAME TIME.

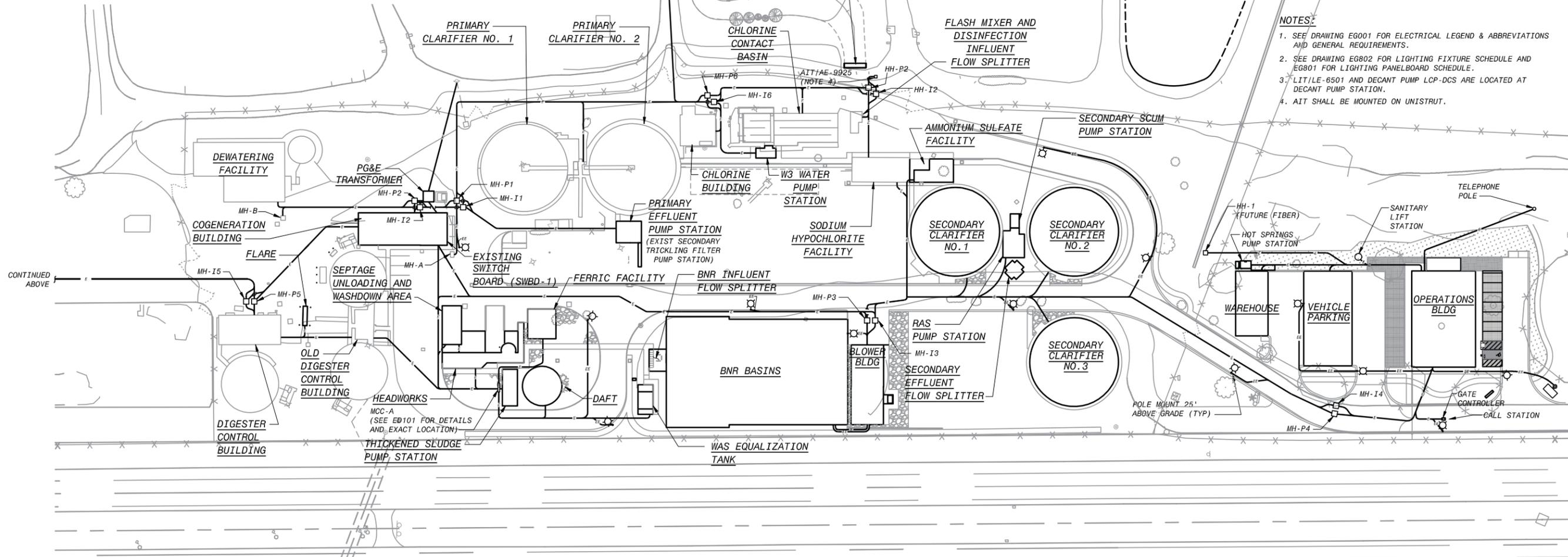
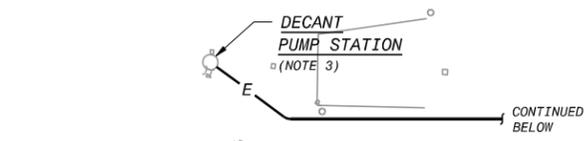
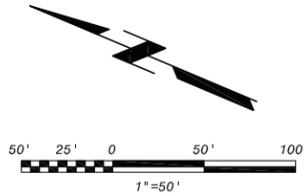
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PLOTTED:	XREF4:				
USER: AND49974	XREF5:				
	DATE	BY	CHK	APP	



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 Black & Veatch Corporation
 Walnut Creek, California

**CITY OF PASO ROBLES
 WASTEWATER TREATMENT PLANT UPGRADE
 ELECTRICAL
 POWER DISTRIBUTION FUNCTIONAL DIAGRAM**

DESIGNED: LP
DETAILED: MAS2
CHECKED: JJW
APPROVED: MJK
DATE: 2/22/2011
PROJECT NO. 162100
EY101 SHEET
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- NOTES:**
1. SEE DRAWING EG001 FOR ELECTRICAL LEGEND & ABBREVIATIONS AND GENERAL REQUIREMENTS.
 2. SEE DRAWING EG802 FOR LIGHTING FIXTURE SCHEDULE AND EG801 FOR LIGHTING PANELBOARD SCHEDULE.
 3. LIT/LE-6501 AND DECANT PUMP LCP-DCS ARE LOCATED AT DECANT PUMP STATION.
 4. AIT SHALL BE MOUNTED ON UNISTRUT.



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 Black & Veatch Corporation
 Walnut Creek, California

**CITY OF PASO ROBLES
 WASTEWATER TREATMENT PLANT UPGRADE
 ELECTRICAL
 OVERALL SITE PLAN**

DESIGNED:	ABL
DETAILED:	SPS
CHECKED:	JWV
APPROVED:	JTE
DATE:	2/22/2011

IF THIS BAR DOES NOT MEASURE 1" THEN DRAWING IS NOT TO FULL SCALE

PROJECT NO.
162100

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SHEET
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