

# ADDENDUM NO. 1

For the:

**Pre-qualification of Interested Maintenance Contactors**

**City of Alameda**

**Cleaning and Maintenance of Webster Street, Park Street  
and Marina Village**

**Addendum Dated: November 4, 2014**

**This addendum alters the SOPQ by removing the bonding requirements and the following questions/sections:**

## **PART I. ESSENTIAL REQUIREMENTS FOR PRE-QUALIFICATION**

3. 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

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

### **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 labor and materials bond on any project(s) 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.

**Removed items have been indicated by strikethrough text  
in the revised SOPQ package that follows these pages.  
Please see below:**

**Pre-qualification of Interested Maintenance Contactors  
for  
The City of Alameda  
Cleaning and Maintenance of Webster Street, Park Street and Marina Village**

**STATEMENTS OF  
PRE-QUALIFICATION DUE:  
November 10, 2014 at or before 12:00 p.m.**

**Issued  
October 28, 2014**

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**NOTICE TO MAINTENANCE CONTRACTORS  
REQUESTING STATEMENTS OF PRE-QUALIFICATION**

**For the  
City of Alameda**

**Cleaning and Maintenance of Webster Street, Park Street and Marina Village**

Notice is hereby given that the City of Alameda (“Owner”) has determined that all Maintenance Contractors bidding on the Cleaning and Maintenance of Webster Street, Park Street and Marina Village Project (“Project”) must be pre-qualified prior to submitting a Bid on the Project. It is mandatory that all Maintenance 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 Maintenance Contractors will be issued following evaluation of the SOPQ packages.

**OBTAINING SOPQ PACKAGES:** Prospective Bidders may obtain a copy of the SOPQ application package via email by contacting the Liz Acord in the Public Works Department at [lacord@alamedaca.gov](mailto:lacord@alamedaca.gov) and providing an email address for delivery. Prospective Bidders may also obtain the SOPQ application package via the City of Alameda’s website at: <http://alamedaca.gov/business/bids-rfps>

**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 three (3) printed copies and one PDF file of the SOPQ package must be delivered to and received by Liz Acord, Public Works Department, 950 W. Mall Square, Room 110, Alameda, CA 94501 **by November 10, 2014 at or before 12:00 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, “Maintenance Contractor SOPQ for the Cleaning and Maintenance of Webster Street, Park Street and Marina Village Project.” The Maintenance Contractor SOPQ package is specific to the Project, and is not a qualification for performing other Owner projects or Owner projects in general.

**PRE-QUALIFICATION QUESTIONS**

In lieu of a pre-qualification conference, Public Works will receive pre-qualification and SOPQ questions from the Questions and Comments Form via email to the attention of below by November 3, 2014 at 12:00 p.m. All questions and answers will be posted to

the City's website as an addendum to the original SOPQ document by November 4, 2014 at 5:00 p.m.

**Contractors to send Statement of Pre-Qualification Questions to:**

Liz Acord  
[lacord@alamedaca.gov](mailto:lacord@alamedaca.gov)

**Answers to Pre-qualification and SOPQ questions will be posted to:**

<http://alamedaca.gov/business/bids-rfps>

**PROJECT DESCRIPTION**

The City of Alameda is an island city of approximately 75,000 residents, connected to the City of Oakland via four bridges and two tunnels. The City has vibrant shopping districts on Park Street and Webster Street, as well as a small commercial area including a boardwalk and park as part of the business park at Marina Village.

The City's mission is to achieve excellence in cleanliness in the public right of way within these commercial areas to attract and retain businesses, as well as create an attractive community for both residents and visitors.

The City is requesting proposals from qualified organizations for ongoing cleaning and maintenance on Park Street, Webster Street, and Marina Village. The purpose of this work is to ensure the public areas within these shopping districts are clean, orderly, attractive, and well-maintained.

**DRAWINGS:**

The maps of the three areas are Attachment 5 to this Statement of Pre-Qualifications document.

**PROJECT SCHEDULE:** The anticipated Project schedule is summarized below:

<b>Preliminary Project Milestones</b>	<b>Anticipated Date</b>
Issue Request for SOPQ	October 28, 2014
Questions and Comments Form Due Date	November 3, 2014 by 12:00 p.m.
Answers to Questions and Comments Form Posted	November 4, 2014
Owner Receives SOPQ Packages	November 10, 2014 by 12:00 p.m.
Owner Notifies Contractors of Pre-qualification Status	November 13, 2014
Owner Advertises for RFP	November 19, 2014
Owner Receives RFP Questions	November 21, 2014

Owner Posts Answers to RFP Questions	November 24, 2014
RFP Due	November 26, 2014
Award Contract	December 16, 2014
Project Start	January 1, 2015

The entire SOPQ Package (SOPQ questionnaire answers and any 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 an 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 Bidders shall provide only complete and accurate information in their SOPQ Package. The Prospective Bidders acknowledge 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 Bidders accept all risks and cost associated with the completion of the SOPQ Package without any financial guarantee by the Owner.

SIGNED: City of Alameda Public Works Department  
Liz Acord  
Management Analyst

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

MAINTENANCE CONTRACTOR  
STATEMENTS OF PRE-QUALIFICATION (SOPQ)  
FOR THE  
CITY OF ALAMEDA  
CLEANING AND MAINTENANCE OF WEBSTER STREET, PARK STREET AND  
MARINA VILLAGE

Questions and Comments Form  
Submit via email by 12:00 p.m. on November 3, 2014 to:  
Liz Acord  
lacord@alamedaca.gov

Firm Name: \_\_\_\_\_

Name: \_\_\_\_\_ Title: \_\_\_\_\_

SOPQ Questions/Comments:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

Phone Number and Email \_\_\_\_\_ Date \_\_\_\_\_

**All questions received will be answered and posted to the City's website as an addendum to the original SOPQ. Questions will not be accepted verbally either in person or via telephone, please see above submittal instructions for questions.**



## **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 three (3) printed copies and one PDF file of the SOPQ materials to be delivered as described in the Notice. 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 addenda. 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 E-mail (with E-mail delivery receipt request) by November 3, 2014 at 12:00 p.m. to the address set forth in the Notice.

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 1 business day. 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., mail).

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 City using contact information provided above.

### **SOPQ PACKAGE SUBMITTAL REVIEW**

The answers to questions contained in the attached SOPQ questionnaire 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 Bidders and designated Project Managers 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 November 10, 2014 at or before 12:00 pm.

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 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 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 Project regardless of the scores obtained in Parts II and III.

The Contract for 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 to a contractor that does not submit all of the requested information and materials. 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 pre-qualified, 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 an independent hearing officer to whom the Owner has delegated final authority and responsibility to hear such appeals. The Prospective Bidder will be given the opportunity to present information and present reasons in opposition to the rating to the extent identified in their notice of appeal. Within two (2) business days after the conclusion of the hearing, the hearing officer will render a 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.

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 completed, either

in part or in whole. The Owner shall not be liable for any costs incurred by Prospective Bidders 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 Alameda**

**Cleaning and Maintenance of Webster Street, Park Street and Marina Village**

**MAINTENANCE 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 PRE-QUALIFICATION**

**An answer of “No” to any of the Questions 1 through 6 will be rated a “Fail” and the Prospective Bidder will be immediately disqualified.**

**An answer of “Yes” to any of the Questions 7 through 10 will be rated a “Fail” and the Prospective Bidder will be immediately disqualified.**

1. 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.**

2. 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

- ~~3. 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.**~~

4. In accordance with Part III, Item 41, Prospective Bidder has listed at least three (3) projects completed in the last three (3) years of size, scope and complexity similar to the Project, including:
- A. Maintenance of the public areas of a downtown business district, including sidewalk cleaning
  - B. Management of public litter can facilities including cleaning and maintenance
  - C. Graffiti removal and abatement on public property
  - D. Liasing with downtown business associations.
- Yes  No

5. In accordance with Part III, Item 42, 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) ongoing maintenance projects where the individual named held the position of Project Manager. One of the listed projects must have a contract value of at least **\$25,000**. The demonstrated experience of the Project Manager must have been within the last three (3) years.  
 Yes  No
6. Prospective Bidder agrees to perform with its own organization and with the assistance of workers under its immediate superintendence, work of a value not less than fifty percent (50 %) of the Bidder's Total Bid Price.  
 Yes  No
7. Have any of the Prospective Bidder's license's been revoked at any time in the last five (5) years?  
 Yes  No
8. 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
9. 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
10. 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 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	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 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	Company	Dates of Person’s Participation with Company

**For Firms That Are Sole Proprietorships:**

- 1a. Date of commencement of business: \_\_\_\_\_

- 1b. Identify every 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	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 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 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:

2011 \_\_\_\_\_ 2012 \_\_\_\_\_ 2013 \_\_\_\_\_

6. How many years has your organization been in business in California under your present business name?

\_\_\_\_\_ 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 licenses 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 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 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 \$10,000.

17. In the past ten (10) years has any claim **against** your firm concerning your firm's work on a 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 ten (10) 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 labor and materials bond issued on your firm's behalf, in connection with a 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?  
 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 labor and materials bond on any project(s) 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:~~

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~~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.

#### **H. Prevailing Wage and Apprenticeship Compliance Record**

32. 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.

33. 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.

34. 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 MAINTENANCE PROJECTS COMPLETED AND PROJECT MANAGER EXPERIENCE**

35. In accordance with Part I, Question 4, the Prospective Bidder must list at least three (3) projects completed in the past three (3) years of size, scope and complexity similar to the Project including:

- A. Maintenance of the public areas of a downtown business district, including sidewalk cleaning
- B. Management of public litter can facilities including cleaning and maintenance
- C. Graffiti removal and abatement on public property
- D. Liaising with downtown business associations.

Prospective Bidder also certifies that Prospective Bidder self-performed at least fifty percent (50%) of the Work on each of the projects listed below.

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 may attach their own form to their SOPQ submission.**

**Project #1 Name:** \_\_\_\_\_

**Owner:** \_\_\_\_\_

**Owner Contact Person:** \_\_\_\_\_

**Final Contract Amount:** \$ \_\_\_\_\_

**Contract Term:** \_\_\_\_\_

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

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Project 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:

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Brief Description of work performed:

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**Project #2 Name:** \_\_\_\_\_

Owner: \_\_\_\_\_

Owner Contact Person: \_\_\_\_\_

Final Contract Amount: \$ \_\_\_\_\_

Contract Term: \_\_\_\_\_

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

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Project 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:

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Brief Description of work performed:

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**Project #3 Name:** \_\_\_\_\_

Owner: \_\_\_\_\_

Owner Contact Person: \_\_\_\_\_

Final Contract Amount: \$ \_\_\_\_\_

Contract Term: \_\_\_\_\_

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

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Project 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:

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Brief Description of work performed:

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**Prospective Bidder is to add additional sheets if necessary to be able to provide all information required.**

36. The Prospective Bidder shall name below the Project Manager who will be assigned to this Project, will be personally available full time and has successfully completed at least three (3) ongoing maintenance projects where the individual named held the position of Project Manager. One of the listed projects must have a contract value of at least \$25,000. The demonstrated experience of the Project Manager must have been within the last three (3) years.

**This Project Manager must be assigned to the Project site and be personally available during the term of the contract.**

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 experience defined above as a Project Manager.

Name of Project Manager: \_\_\_\_\_

Number of Years of Total Maintenance Experience: \_\_\_\_\_

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

List three ongoing maintenance projects as defined above where the individual named above held the position of Project Manager. One of the projects must have a contract value of at least \$25,000.

**Project #1 Name:** \_\_\_\_\_

Location: \_\_\_\_\_

Owner: \_\_\_\_\_

Owner Contact (name and current phone number):  
\_\_\_\_\_  
\_\_\_\_\_

Description of Project, Scope of Work Performed:  
\_\_\_\_\_  
\_\_\_\_\_

Total Value of project (including change orders): \_\_\_\_\_

Original Term: \_\_\_\_\_

Time Extensions Granted (number of days): \_\_\_\_\_

Date of Termination (if applicable): \_\_\_\_\_

**Project #2 Name:** \_\_\_\_\_

Location: \_\_\_\_\_

Owner: \_\_\_\_\_

Owner Contact (name and current phone number):  
\_\_\_\_\_  
\_\_\_\_\_

Description of Project, Scope of Work Performed:  
\_\_\_\_\_  
\_\_\_\_\_

Total Value of Project (including change orders): \_\_\_\_\_

Original Term: \_\_\_\_\_

Time Extensions Granted (number of days): \_\_\_\_\_

Date of Termination (if applicable): \_\_\_\_\_

**Project #3 Name:** \_\_\_\_\_

Location: \_\_\_\_\_

Owner: \_\_\_\_\_

Owner Contact (name and current phone number):  
\_\_\_\_\_  
\_\_\_\_\_

Description of Project, Scope of Work Performed:  
\_\_\_\_\_  
\_\_\_\_\_

Total Value of Project (including change orders): \_\_\_\_\_

Original Term: \_\_\_\_\_

Time Extensions Granted (number of days): \_\_\_\_\_

Date of Termination (if applicable): \_\_\_\_\_

**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. 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 **Cleaning and Maintenance of Webster Street, Park Street and Marina Village**, 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, 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 Alameda 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 \_\_\_\_\_, 2014

**NOTARIZED INSURANCE STATEMENT**

We, the undersigned, \_\_\_\_\_ (name) as the authorized insurance carrier(s) or insurance broker for \_\_\_\_\_ (company), a Prospective Bidder for the City of Alameda Cleaning and Maintenance of Webster Street, Park Street and Marina Village Project, do hereby attest that the specified insurance coverages and amounts required in Attachment 1 will be met.

SIGNED and SEALED this \_\_\_\_\_ day of \_\_\_\_\_, 2014.

Name (printed) \_\_\_\_\_

Signature \_\_\_\_\_  
(Signatures must be notarized)

Title \_\_\_\_\_

Address \_\_\_\_\_

Phone \_\_\_\_\_

Email \_\_\_\_\_

**Include Notarization**

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



## ATTACHMENT 1- BONDS AND INSURANCE

The Contractor will be required to carry at least the following insurance coverages and limits:

- Workers Compensation as required by law, including Jones Act coverage if applicable, and Employer's Liability Insurance with at least statutory limits
- Commercial General Liability Insurance, broad form, with the following minimum limits:

Bodily Injury:           \$2,000,000 each occurrence  
                                  \$4,000,000 aggregate - all other

Property Damage:   \$2,000,000 each occurrence  
                                  \$4,000,000 aggregate

- Automobile Liability Insurance, any auto, with limits of at least \$1,000,000

Companies writing the insurance under this article shall be licensed to do business in the State of California with a current A.M. Best's rating of no less than A:VII.

## 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.

### 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 Maintenance 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 Pre-qualification

To pre-qualify, 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 Section 1, History of the business and organizational performance. The passing total score for Group 1 Questions is **46 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 **25 points**.

For Group 3, Recent Maintenance Projects Completed and Project Manager Experience include 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 two completed projects. Scoring similar to DIR recommendations will be used. For

each interview the maximum score is 130 points. For these questions, a score on each of two interviews of **85 points** or more is sufficient for pre-qualification; a denial of pre-qualification will be given for a Prospective Sub-Bidder whose score on either interview is less than 70 points; and one or two additional interviews with other references will be completed if the score resulting from one interview is between 70 points and 85 points. A score of 85 points on each of at least two interviews is required for pre-qualification.

**Group I — Questions about History of the Business and Organizational Performance (from Questionnaire Part II B-F.) (13 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

- 3 years or less = 2 points
- 4 years = 3 points
- 5 years = 4 pts
- 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

14. At any time in the last five years has your firm been assessed and/or paid liquidated damages under a contract with either a public owner?  
 Yes  No

No projects with liquidated damages, or no one project 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 = 3 points

Any other answer: no 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 maintenance 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 ten years has any claim against your firm concerning your firm's work on a maintenance project been the subject of litigation or arbitration?

Yes  No

If the firm's average gross revenue for the last three years was less than \$5 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 your firm's average gross revenue for the last three years was more than \$5 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.

18. In the past ten 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 \$5 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 your firm’s average gross revenues for the last three years were more than \$5 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.

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 either “No” or “Yes” indicating one such claim.  
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 arbitration, 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, or entered into a plea agreement or consent decree involving any federal, state, or local law related to construction?  
 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

**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 \$5 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 \$5 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 \$5 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 \$5 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 \$5 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 \$5 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 maintenance employees and field supervisors during the course of a project?

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

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 \$5 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 \$5 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 \$5 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 \$5 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 ongoing maintenance projects completed and Project Manager Experience (from Interview Questions Attachment 3): (Refer to Part III and Attachments 3 & 4 for scoring criteria.)**

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## 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 85 or more points on each interview qualifies a Contractor. a denial of pre-qualification will be given for a Prospective Sub-Bidder whose score on either interview is less than 70 points; and one or two additional interviews with other references will be completed if the score resulting from one interview is between 70 points and 85 points. A score of 85 points on each of at least two interviews is required for pre-qualification.

First, please give a brief description of the project.

1. On a scale of 1-10, with 10 being the best, did the Prospective Bidder provide adequate personnel? (Max. 10 points)
2. On a scale of 1-10, with 10 being the best, did the Prospective Bidder provide adequate supervision? (Max. 10 points)
3. On a scale of 1-10, with 10 being the best, was there adequate equipment provided on the job? (Max. 10 points)
4. On a scale of 1-10, with 10 being the best, was the Prospective Bidder timely in providing reports and other paperwork? (Max. 10 points)
5. 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)
6. 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 work. (Max. 10 points)
7. On a scale of 1-10, with 10 being the best, rate how the Prospective Bidder performed in turning maintenance logs, providing documentation of graffiti incidents and providing required training? (Max. 10 points)

8. On a scale of 1-10, with 10 being the best, rate how the prospective bidder performed in preventing overfilled and overflowing litter cans. (Max. 10 points)
9. On a scale of 1-10, with 10 being the best, rate how the prospective bidder managed graffiti within the project area, including their efforts about proactive removal and reporting. (Max. 10 points)
10. On a scale of 1-10, with 10 being the best, rate the prospective bidder's performance in the first month after being awarded the contract. (Max. 10 points)
11. On a scale of 1-10, with 10 being the best, rate the prospective bidder's ability to manage complaints and the quality of the response to complaints. (Max. 10 points)
12. On a scale of 1-10, with 10 being the best, how would you rate the Prospective Bidder in terms of liaising with business owners of a shopping district? (Max. 10 points)
13. 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)

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**ATTACHMENT 4**

**CITY OF ALAMEDA**

**CLEANING AND MAINTENANCE OF WEBSTER STREET, PARK STREET AND  
MARINA VILLAGE**

**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	<b>46</b>		Pass / Fail (circle one)
Part II: G - H	Safety, Prevailing Wage and Apprenticeship	<b>25</b>		Pass / Fail (circle one)
Part IV:	Project Experience – Interview Questions	<b>85</b>		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\*\*\*