REQUEST FOR
STATEMENT OF QUALIFICATIONS
FOR THE DESIGN AND CONSTRUCTION OF THE
BEELINE MAINTENANCE FACILITY

Request for Qualifications Issued:  May 12, 2016
Statement of Qualifications Due:    June 9, 2016
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SECTION 1 – NOTICE OF INVITATION

Invitation to Submit Statement of Qualifications

City of Glendale

Design and Construction of the Beeline Maintenance Facility

Notice is hereby given that the City of Glendale (CITY) is soliciting Statements of Qualifications (SOQs) seeking firms for the Design and Construction of the Beeline Maintenance Facility Project (PROJECT) according to the content and format requirements set forth in this Request for Qualifications (RFQ). Only California licensed and registered design professionals will be allowed to perform the completed design work. Only licensed class “A” contractors will be allowed to manage construction of the project. This project will be subject to California and federal prevailing wage requirements.

This procurement is structured to comply with the requirements of California Public Contract Code §22160-22169 which governs the Design-Build process for Municipal Transportation Operators such as the Glendale Beeline. The California Public Contract Code requires the City to prepare and issue an RFQ in order to prequalify or short list the Design-Build entities whose bids shall be evaluated for final selection. Only bidders that have been short listed will be allowed to bid on the Beeline Maintenance Facility Construction project as the Design-Build entity. The procurement will also meet the requirements of all other applicable California and Federal Transit Administration laws and regulations. Information required under this RFQ that is not otherwise a public record under the California Public Records Act (Chapter 3.5 (commencing with Section 6250) of Division 7 of Title 1 of the Government Code) shall not be open to public inspection.

The complete RFQ and any addenda may be obtained through the CITY’s website (http://www.glendaleca.gov/government/departments/finance/purchasing/rfp-rfq-page). All communications related to this RFQ Process, including addenda, will only be issued to the firms that register on the RFQ Participant List.

To register on the RFQ Participant List, prospective Respondents must notify the CITY of their interest in submitting a SOQ by emailing Violet Nielsen at vnielsen@glendaleca.gov. Please provide name of the firm, address, key contact name along with their email and phone number, and secondary contact name along with their email and phone number.

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SECTION 2 – PROJECT INFORMATION

2.1. Project Background

The purpose of the Beeline Maintenance Facility is to enhance the performance and reliability of public fixed route and demand response transit services provided by the City of Glendale. This new transit facility would improve services and reduce operating inefficiencies by providing dedicated administrative, operations, and maintenance facilities. Emphasis will be placed on providing functional and durable design and construction that requires minimal ongoing expense to operate and maintain.

The PROJECT site has an area of approximately 3.2 acres of city owned vacant property at 1749 Gardena Avenue, Glendale, California. The property is adjacent to the Glendale Transportation Center located at 400 West Cerritos Avenue, Glendale, California, 91204.

The PROJECT will primarily consist of

- An approximately 23,650 sq. ft. Maintenance and Operations Building.
- There will be a service canopy area of approximately 2,750 sq. ft. for CNG fueling of vehicles.
- An approximate 2,250 sq. ft. stand-alone bus wash.
- Secured surface parking for 60 transit vehicles.

Currently, RNL Interplan, Inc., is completing the conceptual design and will provide 30% drawings and performance specifications to be used by the design/build contractor. The design/build contractor will be responsible for using the 30% design/build drawings to finalize the design and specifications and execute the construction work.

2.2. Environmental Review

It is not anticipated that the prospective bidder will be required to conduct any environmental studies relating to this construction project.

2.3. Project Budget

The PROJECT design/build budget is $12,000,000. This is considered the PROJECT Value of this project.

2.4. Funding

The PROJECT is funded by Federal Transit Administration (federal) funds and City Local Return Transportation (local) funds and is subject to defined federal implementation and reporting requirements.

The project requires participation of Disadvantaged Business Enterprises (DBE) firms in accordance with 49 CFR 26 utilizing Race Conscious participation of 10% by the Design-Builder during final PROJECT design and construction. Davis-Bacon federal
minimum wage laws will apply. Federal Buy America provisions will also apply to all structural steel and manufactured items in accordance with 49 CFR 661.

2.5. Project Schedule

The construction effort is intended to start in the summer of 2016 and provide for duration of approximately 16 months.

2.6. Definitions

"Design-Build" means a project delivery process in which both the design and construction of a project are procured from a single entity.

"Design-Build Entity" or (DB Entity) or “Design-Builder” or (DB) means a corporation, limited liability company, partnership, joint venture, or other legal entity that is able to provide appropriately licensed contracting, architectural, and engineering services as needed pursuant to a Design-Build contract.

"Design-Build Team" means the Design-Build Entity itself and the individuals and other entities identified by the Design-Build Entity as members of its team. Members shall include the general contractor and, if utilized in the design of the project, all electrical, mechanical, and plumbing contractors.

“Respondent” means the individual or firm submitting a Qualifications Statement in response to this solicitation.

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SECTION 3 – INTENDED PROJECT SCOPE OF WORK

3.1. Design-Build Roles and Responsibilities

The Design-Builder will cooperate with the CITY and will provide in a timely manner the work and services necessary to complete the PROJECT. Design-Builder responsibilities may include:

- Use the 30% plans and specifications provided to complete the final design and construction documents.
- Provide pre-construction services including cost estimating, procurement planning, constructability and value-engineering services.
- Procure all permits, licenses, and approvals required for the construction processes including, but not limited to, building permits, public right-of-way encroachment permits, transportation permits, and demolition permits.
- Provide construction services, supervising Design-Builder personnel and subcontractors.
- Establish and implement quality-management procedures, including PROJECT health and safety practices.
- Provide PROJECT notification and neighborhood outreach and response efforts during design and construction.
- Construct the PROJECT and meet specified construction milestones and the PROJECT in-service due date.
- Procure and provide PROJECT equipment.
- Conduct performance testing, startup, and commissioning.
- Provide as-built record drawings and specifications.
- Provide initial operations support and process optimization services for a set period as determined by CITY.
- Provide warranty coverage.

3.2. CITY Roles and Responsibilities

The CITY will cooperate with the Design-Builder and will fulfill its responsibilities in a timely manner to facilitate the Design-Builder’s timely and efficient performance of work and services. CITY responsibilities may include:

- Review submissions and provide comments to Design-Builder.
- Provide CITY requirements and preferences including, but not limited to, performance requirements, operations and maintenance preferences, equipment requirements, and single-source equipment preferences.
• Furnish existing studies and provide complete, accurate and reliable data and information regarding the PROJECT, including record drawings, preliminary studies, and environmental studies.

• Provide information and provide (or engage Design-Builder to perform) additional studies that may be necessary to complete the PROJECT.

• Provide access to the PROJECT site.

• Obtain the governmental approvals and permits CITY is responsible for, and assist Design-Builder in obtaining governmental approvals and permits for which it is responsible.

• Provide necessary operational data.

• Provide adequate funding.

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SECTION 4 – PROCUREMENT PROCESS FOR RFQ

The SOQs will be reviewed and evaluated by the CITY to create a short list of up to six most highly qualified respondents. The SOQ evaluation criteria are described in Section 6 of this RFQ.

Responses to any CITY-issued Invitation for Bids (IFB) will only be accepted from the qualified short listed Respondents.

It is anticipated that the IFB will not limit the amount of services and work that the Design-Builder Entity can propose to self-perform.

It is anticipated that the CITY will require the Design-Builder to conduct a competitive bidding process for all elements of the construction work.

The City will require all Subcontractors providing construction work in excess of $250,000 to have a prior working relationship with the Design-Builder within the past 10 years.

The RFQ requires the Design-Builder to identify and supply information regarding the Design Build Entity (which is the entity that will execute the Design-Build contract), the General Contractor, the principal engineering firm, and other design firms (if any).

4.1. Communications During RFQ Process

A. All questions, requests for information or objections to this RFQ process must be submitted in writing and be as specific as possible. Submittals shall be directed to the CITY contact, Ms. Violet Nielsen, via email at vnielsen@glendaleca.gov no later than the date indicated in the Procurement Schedule in 4.3.

B. No contact with any other CITY staff concerning the PROJECT during the RFQ process is allowed. A violation of this provision may result in disqualification of Respondent. No oral communication from the CITY Contact or any other CITY staff is binding.

C. All communications regarding this procurement, including addenda, will be issued only to registered participants via email, per Section 1, and as appropriate, posted on the CITY’s website.

4.2. Addenda

A. The CITY may issue written addenda as appropriate for clarification or other purposes during the RFQ period. Addenda notification(s) will be sent to registered participants via email.

B. Addenda will be posted on the CITY’s website at http://www.glendaleca.gov/government/departments/finance/purchasing/rfp-rfq-page. Respondents are responsible for compliance with any and all addenda regardless of whether or not it is actually received.
4.3. **Procurement Schedule**

Following is the procurement schedule for the RFQ process and anticipated milestones for the upcoming IFB process and subsequent steps.

<table>
<thead>
<tr>
<th>Item No.</th>
<th>Activity</th>
<th>Latest Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Issuance of RFQ</td>
<td>May 12, 2016</td>
</tr>
<tr>
<td>2</td>
<td>Deadline to submit questions and requests for clarification</td>
<td>May 23, 2016</td>
</tr>
<tr>
<td>3</td>
<td>Projected last day for CITY to issue addenda</td>
<td>June 1, 2016</td>
</tr>
<tr>
<td>4</td>
<td>Deadline to submit completed SOQ</td>
<td>June 9, 2016 at 4:00 p.m. PST</td>
</tr>
</tbody>
</table>

4.4. **Reservation of Rights of the City**

In connection with this procurement, the CITY reserves to itself all rights (which rights shall be exercisable by the CITY in its sole discretion) to:

A. Issue addenda, supplements, and modifications to this RFQ;

B. Add or delete Design-Builder Entity responsibilities from the information stated in this RFQ or the subsequent IFB;

C. Withdraw or cancel this RFQ or the subsequent IFB in whole or in part at any time prior to the execution by the CITY of a Design-Build contract, without incurring any cost obligations or liabilities to any other party;

D. Revise and modify at any time, factors the CITY will consider in evaluating responses to this RFQ and the subsequent IFB and to otherwise revise its evaluation methodology;

E. Modify all dates set or projected in this RFQ;

F. Waive minor defects or irregularities in the SOQ’s or non-material deviations from the requirements set forth in this RFQ;

G. Request supplemental information, hold meetings, conduct discussions and exchange correspondence with one or more of the Design-Build Entities responding to this RFQ to seek an improved understanding and evaluation of the responses to this RFQ;

H. Seek or obtain data from any source that has the potential to improve the understanding and evaluation of the responses to this RFQ;

I. Examine any of the facilities referenced in each SOQ and to observe and investigate the operations of such facilities;
J. Conduct investigations of the Design-Build Entities and their SOQs (including, but not limited to, contacting references) to clarify the information provided pursuant to this RFQ, and to request additional evidence to support the information included in any SOQ;

K. Adjust, increase, limit, suspend or rescind the SOQ rating based on subsequently learned information;

L. Add the next highest scoring Design-Build Entity to the short list at any time during the procurement process if a short listed Design-Build Entity withdraws from the procurement process; and

M. Add or modify its reserved rights in the subsequent IFB; and make all final determinations.

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SECTION 5 – PREPARATION AND SUBMITTAL OF SOQ

Respondents must provide a complete, responsive SOQ package with all required forms, information, attachments, appendices, and any other supplemental information. Submission of an incomplete and/or unclear SOQ may be considered nonresponsive.

5.1. Format of SOQ, Submission Quantities

Submittal shall be on standard letter size (8.5” x 11”) paper, except that organizational charts may be submitted on tabloid size (11” x 17”) paper. Submittal shall be printed two-sided.

The SOQ must be organized and formatted as described in 5.3 SOQ Required Content. Each SOQ must be divided into Sections as specified and must include all of the required contents of each Section, in the sequence specified.

Each SOQ shall include a table of contents clearly referencing each Section in the proposal, and pages shall be numbered sequentially through the document.

Any unrequested documentation such as corporate brochures, publications, marketing DVDs, and the like will not be considered in City’s evaluation and shall not be included in submittal.

A complete submittal consists of the following:
- One (1) unbound two-sided original wet signed SOQ;
- Five (5) bound copied sets of the SOQ. Each copy must be bound in a three ring binder with each section of the submittal separated by a numbered tab indicating the Section number; and
- One (1) PDF copy of SOQ on a USB flash drive.

5.2. Submission Location and Deadline

Deliver the sealed submittal package to:
City of Glendale/Community Development-Transit
Beeline Maintenance Facility SOQ
633 E. Broadway, Room 300
Glendale, CA 91206
818-937-8333

The submittal package must be received by the CITY no later than the deadline indicated in Section 4.3. Procurement Schedule. It is the sole responsibility of the Respondent to ensure that their submittal is received by the City no later than the stated deadline.

Failure to deliver a responsive submittal package by the date and time specified in the Procurement Schedule will preclude the Design-Builder from subsequent participation in the bidding process for the PROJECT.
5.3. **SOQ Required Content**

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

Inquiries are separated by Divisions with titles describing the focus area of each Division. Each Division has fill-in and supplemental information required. A separate tab shall be used to separate the Divisions in the Respondents submittal.

An explanation of each Division is provided below with instructions included in the section of each Division. All supplemental documentation provided and forms completed shall be filed under the Division tab containing the requirement.

**Division 1 – Design-Build Entity Information and Certification**

Division 1 seeks information about the makeup of the Design-Build Entity, and is for identification purposes only. There is no evaluative scoring value for Division 1.

The Design-Build Entity must complete *Form A Transmittal Cover Page*. The signatory to the Transmittal Cover Page is certifying that the statements and information contained in the Statement of Qualifications are complete and accurate and that the submittal contains no false or deliberately misleading information. By signing the Transmittal Cover Page, the Design-Build Entity acknowledges that receipt of this submittal by the CITY does not constitute either a direct or implied guarantee to the Design-Build Entity that it will be short listed. By signing the Transmittal Cover Page and submitting the SOQ, the Design-Build Entity further agrees to be bound by the procedures and conditions as described in this RFQ.

Submit notarized affidavit as indicated for *Form A Transmittal Cover Page*.

Provide organizational documentation if the Design-Build Entity is a privately held corporation, Limited Liability Company, Partnership, Joint Venture, or other legal entity. Provide a copy of the organizational documents or agreement committing to form the Design-Build Entity. Indicate all shareholders, partners or members who will perform work on the PROJECT.

The Design-Build Entity must complete *Form B Contact Information*. The Design-Build Entity should list primary and secondary contact persons, who will be the key contacts for all communications related to this RFQ and subsequent SOQ.

The Design-Build Entity must complete *Form C Addenda Acknowledgment* and transmit the completed form with the Division 1 requirements and include the form in the Division 1 Tab.

**Division 2 – Project Team Information**

Division 2 seeks information about the makeup of the Design-Build team members, and is for identification purposes only. There is no evaluative scoring value for Division 2.
The Design-Build Entity must complete *Form D Project Team Information*. The Design-Build Entity should provide information for the members with significant roles on the Design-Build team. At a minimum, provide information for the general contractor, principal engineering firm, and design firm(s). The contact(s) do not need to be an Owner or Officer. Add additional contacts as needed to describe key participants in the Design-Build team.

Provide any explanations or documentation to “Yes” answers as indicated.

**Division 3 – Design-Build Entity Minimum Qualifications – PASS/FAIL**

Division 3 seeks information about various members of the Design-Build Entity to assess if they meet the minimum qualifications to work on the PROJECT. Firms intending to prepare an SOQ are encouraged to self-evaluate their responses on *Form E Design-Build Entity Minimum Qualifications* to determine if they meet minimum qualifications required to submit an SOQ.

Evaluation of the responses on *Form E Design-Build Entity Minimum Qualifications* is the first step in qualifying potential Design-Build firms for the PROJECT. A Design-Build Entity that “fails” any one of the questions 1-20 listed on *Form E Design-Build Entity Minimum Qualifications* is automatically disqualified from further evaluation and selection (except with respect to Question 20 to the extent the Design-Build Entity is a party to an alternative dispute resolution system as identified in Question 20).

The Design-Build Entity must complete *Form E Design-Build Entity Minimum Qualifications*. Provide any documentation and explanations or documentation to “Yes” answers as indicated.

**Division 4 – General Contractor and Principal Engineering Firm Minimum Qualifications – SCORED**

Division 4 seeks information about qualifications of the general contractor and the principal engineering firm to assess if they meet the minimum qualifications to work on the PROJECT. It is important to note that the Design-Build Entity is responsible for submitting a fully qualified team. Unqualified individual team members will disqualify the Design-Build Entity.

Evaluation of the responses on *Form F Project General Contractor Scored Questions* and *Form G Principal Engineer Scored Questions* is the second step in qualifying potential Design-Build firms for the PROJECT. A Design-Build Entity that “fails” any one of the questions 2 to 14 on *Form F Project General Contractor Scored Questions* will be disqualified. Failure to provide an explanation for a “Yes” answer to questions 4 to 6 on *Form G Principal Engineer Scored Questions* may result in Design-Build Entity disqualification.

The Design-Build Entity must complete *Form F General Contractor Scored Questions* and *Form G Principal Engineer Scored Questions*. Provide any documentation and explanations or documentation to “Yes” answers as indicated.

The Design-Build Entity must complete *Form H Score Sheet for General Contractor Minimum Qualifications*. Scoring for this form is based on the answers prepared on
**Form F General Contractor Scored Questions.** A minimum score of 105 or more must be attained on this score sheet to rate the general contractor as qualified. A contractor score of 104 or less will rate the general contractor as unqualified which in turn disqualifies the Design-Build Entity.

The Design-Build Entity must complete **Form I Score Sheet for Principal Engineer Minimum Qualifications.** Scoring for each of these forms is based on the answers prepared on **Form G Principal Engineer Scored Questions.**

**Division 5 – Reference Projects Demonstrating Design-Build Entity and Design-Build Team Experience**

Division 5 seeks information for evaluation of the Design-Build Entity’s and Design-Build Team’s experience completing projects similar to the PROJECT. The Design-Build Entity shall submit complete project experience information in accordance with the instructions that follow. Failure to provide complete project experience information that demonstrates comparable experience required by the PROJECT will deem the Design-Build Entity disqualified.

“Completed Project” as used in Division 5 means:

1. For the General Contractor, the construction work is 100% complete and the project has passed the start-up, testing, and commissioning for all facility system components; and

2. For the Principal Engineering Firm and Other Design Firms, the project design work is complete and the construction is either in progress or completed.

“Project Value” as used in Division 5 represents the individual project cost, inclusive of engineering design costs, construction costs including start-up, testing and commissioning, and post construction tasks such as initial operation support services or process optimization services.

The Design-Build Entity will submit reference projects that demonstrate expert knowledge and experience in design and construction of public works facilities. Direct design and/or construction experience with public transportation facilities is highly desirable. Experience with alternative project delivery methods (i.e., Design-Build, Progressive Design-Build, Design/Build-Operate, Construction Manager at Risk, etc.) is also highly desirable. In the reference projects, the Design-Build Entity must demonstrate qualifications and experience relevant to the design and construction of this PROJECT.

Each of the reference projects must have been completed in the past 15 years immediately before the issuance of this RFQ. Projects must demonstrate the Design-Build Entity’s experience with design and construction of public works projects (new or retrofit) in the United States, and be over $10 million in Project Value in 2015 dollars.

The CITY’s assessment of project experience will also include, but are not limited to, reference checks from project owners. For at least two (2) of the reference projects, the CITY may interview the Owner Reference identified on **Form J Reference Project Data Sheet** to verify the information provided. The CITY reserves the right to disqualify a project for consideration where the owner contact demonstrates a lack of knowledge...
regarding the specifics of the project in question and/or for the Design-Build Entity's performance on that project.

**A. General Contractor’s Construction Experience and Principal Engineering Firm’s Design Experience**

The Design-Build Entity shall identify a minimum of six (6) and no more than eight (8) completed projects by the General Contractor and the Principal Engineering Firm. Any project beyond the eighth will not be read nor considered.

Submit a completed *Form J Reference Project Data Sheet* for each of the reference projects. Of the projects submitted:

1. At least three (3) of those projects must be attributed to the Principal Engineering Firm of the Design-Build Team. However, only three (3) of these projects will be considered for SOQ evaluation and scoring purposes. Check the appropriate box on *Form J Reference Project Data Sheet* indicating which three (3) projects are attributable to the Principal Engineering Firm for evaluation and scoring by the Selection Committee.

2. At least three (3) of those projects must be attributed to the General Contractor of the Design-Build Team. However, only three (3) of these projects will be considered for SOQ evaluation and scoring purposes. Check the appropriate box on *Form J Reference Project Data Sheet* indicating which three (3) projects are attributable to the General Contractor for evaluation and scoring by the Selection Committee.

3. Provide owner contact name, agency, address, phone number, and email address. The owner contact is the project manager or other person who is best qualified to answer project related questions.

4. All dollar amounts used on *Form J Reference Project Data Sheet* shall be shown in 2015 dollars. Respondents shall reference [http://www.bls.gov/data/inflation_calculator.htm](http://www.bls.gov/data/inflation_calculator.htm) to convert prior years’ dollars to 2015 dollars.

Submit a project narrative following each project form. Identify the narrative with the project number and project name. The narrative is limited to four (4) pages per project.

Project Narrative requires the following information in the order listed.

**Description of Project.** Describe objectives of the project, type of project, size and capacity, and major challenges during design and construction.

**Relevancy to the PROJECT.** Describe how the project is applicable and relevant to the PROJECT in terms of project scope and size, project delivery method, technical requirements, regulatory and environmental requirements, and operations and maintenance requirements.
Scope of Services. Describe scope of services and/or construction work relative to all phases of project delivery.

Responsible Firms Role. Describe specific roles of responsible firms in the design and/or construction of the project. Describe team structure and management.

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

Contract Schedule. Provide current status of project completion per “Completed Project” definition above. Explain the project schedule and schedule challenges. Explain reason for actual or projected completion date that differs from original scheduled completion date including approved time extensions.

Claims and Liquidated Damages. For the reference project, describe history of claims, disputes and litigation over $50,000 and how they were resolved. State if any liquidated damages were assessed; state if no liquidated damages were assessed.

Design-Build Entity Key Personnel. Indicate the involvement and responsibilities of the Key Personnel of the Design-Build Entity, highlighting project experience where the Key Personnel of the Design-Build Entity have previously worked together. Refer to Form K Key Personnel Experience for a list of the Key Personnel proposed to be assigned to this PROJECT.

Self-Performance and Participation by Design-Build Team Members. If applicable, identify how the Design-Build Entity held a prime role as the General Contractor, the Principal Engineering Firm, or both. Describe the extent of self-performance by the General Contractor, and include a description of the work that was self-performed. Describe the work that was subcontracted. In addition, describe participation by members of the Design-Build Team’s Key Personnel and respective role(s).

Permitting and Compliance. Describe history of compliance with permit conditions.

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

B. Other Design Firm Experience

For each of the Other Design Firms identified in Division 1, the Design-Build Entity shall identify a minimum of one (1) and no more than two (2) completed projects by each of the Other Design Firms. Only reference projects from a maximum two (2) Other Design Firms will be considered for evaluation and
scoring purposes. If there are more than two (2) Other Design Firms listed in Division 1, Design-Build Entity must identify which two (2) Other Design Firms it wants to have their reference projects evaluated by the Selection Committee.

These reference projects shall demonstrate design experience applicable to the requirements for this PROJECT. Design and/or construction experience with operational public works facilities and structures.

Submit a completed Form J Reference Project Data Sheet for each of the reference projects.

1. Provide owner contact name, agency, address, phone number, and email address. The owner contact is the project manager or other person who is best qualified to answer project related questions.

2. All dollar amounts used on Form J Reference Project Data Sheet shall be shown in 2015 dollars. Respondents shall reference http://www.bls.gov/data/inflation_calculator.htm to convert prior years’ dollars to 2015 dollars. Show any calculations used.

Submit a project narrative following each project form. Identify the narrative with the project number and project name. The narrative is limited to four (4) pages per project.

Project Narrative requires the following information in the order listed.

**Description of Project.** Describe objectives of the project, type of project, size and capacity, and major challenges during design and construction.

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

**Scope of Services.** Describe scope of services and/or design work relative to all phases of project delivery.

**Responsible Firms Role.** Describe specific roles of responsible firms in the design and/or construction of the project. Describe team structure and management.

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

**Contract Schedule.** Project Data Sheets for Other Design Firms may leave schedule information blank.
Claims and Liquidated Damages. For the reference project, describe history of claims, disputes and litigation over $50,000 and how they were resolved. State if any liquidated damages were assessed; state if no liquidated damages were assessed.

Design-Build Entity Key Personnel. Indicate the involvement and responsibilities of the Key Personnel of the Design-Build Entity, highlighting project experience where the Key Personnel of the Design-Build Entity have previously worked together. Refer to Division 6 for a list of the Key Personnel proposed to be assigned to this PROJECT.

Self-Performance and Participation by Design-Build Team Members. If applicable, identify how the Design-Build Entity held a prime role as the General Contractor, the Principal Engineering Firm, or both. Describe the extent of self-performance by the General Contractor, and include a description of the work that was self-performed. Describe the work that was subcontracted. In addition, describe participation by members of the Design-Build Team’s Key Personnel and respective role(s).

Permitting and Compliance. Describe history of compliance with permit conditions.

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

Division 6 - Key Personnel Experience

Information will be gathered in Division 6 to determine the experience of the key personnel proposed on the Design-Build Team. The City may interview the owner contact or Key Personnel provided on Form K Key Personnel Experience to verify the information provided for each of the Key Personnel listed.

The CITY considers the Key Personnel material to the success of the construction of the PROJECT. Pre-qualified Design-Build Entities will be required to retain the Key Personnel proposed as part of this RFQ process on their proposals. Should any changes to Key Personnel be required, the Design-Build Entity will be required to resubmit all applicable qualification documents and will be subject to a revised qualification score. The Design-Build contract will include a provision requiring the Design-Builder to assign to the PROJECT the personnel identified in this RFQ.

The Design-Build Entity’s proposed Project Manager, Principal Engineer, Lead Design Engineer, On-Site Project Manager, and Start-Up Manager for the PROJECT must each have at least ten (6) years of relevant professional experience and worked on a minimum of two (2) projects that are comparable to this PROJECT, and in the same role as proposed for this PROJECT. Failure to meet the above minimum requirements for Key Personnel experience will deem the Design-Build Entity as disqualified.
Key Personnel for this PROJECT are:

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

Submit Design-Build Entity's proposed project team on Form K Key Personnel Experience describing all of the key personnel or equivalent positions listed above. For each person on Form K Key Personnel Experience indicate the role or responsibility this person will have on the PROJECT. If any of the persons on Form K Key Personnel Experience provided the same/similar role on a Reference Project submitted in Division 5, Form J Reference Project Data Sheet, indicate the project number on Form K Key Personnel Experience.

Provide resumes for each person listed on Form K Key Personnel Experience.

If any of the key personnel listed on Form K, did not participate in a reference project in Division 5, then additional project experience is required to be submitted. For Project Manager, Principal Engineer, Lead Design Engineer, On-Site Project Manager, and Start-Up Manager positions, submit three (3) projects using Form J Reference Project Data Sheet. Provide one (1) project using Form J Reference Project Data Sheet for each for all other remaining Key Personnel.

Division 7: Financial Capability

The data provided in Division 7 will be used to determine the scores for the financial capability criterion. The financial information requested will be considered confidential and not subject to the California Public Records Act.

The Design-Build Entity shall provide financial information for each of the following Design-Build Team members:

A. Design-Build Entity

1. A copy of the most recent Dunn and Bradstreet report. If such report is not available, please provide a statement to that effect in your response. The financial information must be for the company(s) that makes up the Design-Build Entity, not the parent company, unless the parent company is acting as the Guarantor.
2. A copy of the most recent long-term issuer credit rating report from Fitch, Moody’s and/or S&P. If such report is not available, please provide a statement to that effect in your response.

3. A copy of the most recent audited financial statements for the past three (3) fiscal years (U.S. GAAP basis), including the balance sheet, income statement, statement of cash flows, and notes to the financial statements.

B. General Contractor

1. A copy of the most recent Dunn and Bradstreet report. If such report is not available, please provide a statement to that effect in your response.

2. A copy of the most recent long-term issuer credit rating report from Fitch, Moody’s and/or S&P. If such report is not available, please provide a statement to that effect in your response.

3. A copy of the most recent audited financial statements for the past three (3) fiscal years (U.S. GAAP basis), including the balance sheet, income statement, statement of cash flows, and notes to the financial statements.

C. Principal Engineering Firm

1. A copy of the most recent Dunn and Bradstreet report. If such report is not available, please provide a statement to that effect in your response.

2. A copy of the most recent long-term issuer credit rating report from Fitch, Moody’s and/or S&P. If such report is not available, please provide a statement to that effect in your response.

3. A copy of the most recent audited financial statements for the past three (3) fiscal years (U.S. GAAP basis), including the balance sheet, income statement, statement of cash flows, and notes to the financial statements.

**Division 8 - Organizational And Management Approach**

The information provided in Division 8 will be used to facilitate understanding of the proposed Design-Build Entity and Team structure and the reporting relationships of individual Key Personnel within that structure. Although not scored separately, the information provided will be used to assess and inform the Selection Committee in scoring the Design-Build Team experience.

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

A. Organizational Chart(s)

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

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

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

B. Description Of Design-Build Management Approach

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

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

A COMPLETED SUBMISSION CONSISTS OF ALL COMPLETED DIVISIONS 1-8 INCLUDING ALL REQUESTED FORMS AND ATTACHMENTS AS REQUIRED.

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SECTION 6 – EVALUATION AND RANKING OF SUBMISSIONS

6.1. Evaluation of Minimum Requirements

The SOQs will be reviewed and evaluated by the CITY’s Selection Committee according to the requirements and criteria outlined in this section. The identity of the Selection Committee members will not be revealed until after the SOQ evaluation process has been completed and the final short list of Respondents has been issued.

All SOQs will first be reviewed for their responsiveness, and inclusion of all required forms. Any SOQ that is incomplete in any material respect may be deemed non-responsive and may be rejected in its entirety.

The initial evaluation of Design-Build Entities will be based on information provided in response to the minimum requirements set forth in Section 5, Division 3. If the Design-Build Entity “fails” any questions posed in Division 3 or does not obtain the minimum score in Division 4, they will be disqualified from further consideration.

Those Design-Build Entities that pass the minimum requirements set forth in Section 5, Division's 3 and 4, will be further evaluated on SOQ submittal information for Section 5, Divisions 5, 6 and 7. Ranking will be based on earning up to 100 points as follows:

✓ Design-Build Entity and Design-Build Team Experience: 40% of total score for all criteria,
✓ Key Personnel Experience: 40% of total score for all criteria, and
✓ Financial Capability: 20% of total score for all criteria.

A. Design-Build Entity and Design-Build Team Experience Evaluation (40 points out of 100)

The information provided specified in Section 5, Division 5, Design-Build Entity and Design-Build Team Experience will be used to evaluate the Design-Build Entity’s and Design-Build Team’s experience based on the following criteria:

1. Experience of the Design-Build Entity and firms comprising the Design-Build Entity and Design-Build Team with alternative project delivery methods (i.e., Design-Build, Progressive Design-Build, Design-Build-Operate, Construction Manager at Risk, etc.). Specific experience with Design-Build project delivery method is highly desirable.

2. Prior working relationships of the firms comprising the Design-Build Entity and Design-Build Team.

3. Experience with planning and design of projects similar in size, scope and cost to this PROJECT.

4. Experience with construction and construction management of projects similar in size, type and cost to this PROJECT.
5. Experience with startup and commissioning of public works projects.

6. Experience with providing post-construction services such as initial operations support and process optimization services for transit facilities.

7. Demonstrated experience in outreach efforts with the public, agencies having jurisdiction and other interested public and private agencies and parties during design and construction of similar projects.

B. **Key Personnel Experience Evaluation (40 points out of 100)**

The information provided in Section 5, Division 6: key personnel experience will be used to evaluate the Design-Build Entity’s key personnel experience using the following criteria:

1. Key personnel’s design and design management experience and past performance on projects of size, scope and cost comparable to this PROJECT.

2. Key personnel’s construction and construction management experience and past performance on projects of size, type and cost comparable to this PROJECT.

3. Key personnel have had prior working relationships on referenced projects.

4. Key personnel's experience with alternative project delivery methods (Design-Build, Construction Manager at Risk, Design-Build Operate, etc.). Specific experience with design-build project delivery method is highly desirable.

5. Successful implementation of quality control management plans during project design.

6. Successful implementation of construction quality control management plans during project construction.

7. Key personnel's experience in planning, managing and performing project startup, commissioning and owner staff training.

8. Key personnel's experience in providing post-construction services such as initial operations support and process optimization support.

C. **Financial Capability Evaluation (20 points out of 100)**

The information provided in Section 5, Division 7: Financial Capability will be used to evaluate the Design-Build Entity’s financial capability using the following criteria:

1. Profitability and growth.

2. Solvency.

3. Financial efficiency.
4. Bond, credit, and other ratings.

D. Evaluation of General Information Divisions

1. Division 1 and Division 2, seek information about the makeup of the Design-Build Entity, and are for identification purposes only. There is no direct evaluative scoring value for these Divisions. However, this information is vital to fully assisting the Selection Committee in understanding the proposal.

2. The information provided in Division 8 will be used to facilitate understanding of the proposed Design-Build Entity and Team structure and the reporting relationships of individual Key Personnel within that structure. There is no direct evaluative scoring value for this Division. Although not scored separately, the information provided will be used to assess and inform the Selection Committee in scoring the Design-Build Team experience.

6.2. Ranking of SOQs and Short List

Design-Build Entities that pass the minimum requirements will continue to be evaluated on responses to Section 5, Divisions 5, 6, and 7, and ranked on the basis of their final evaluation score.

The CITY expects to short list the most qualified Design-Build Entities (up to six) based on the highest evaluation scores. Upon conclusion of the SOQ evaluation process, CITY will notify all respondents on the results of the evaluation.

The short listed Design-Build Entities will be issued and Invitation to Bid on the PROJECT.
SECTION 7 – GENERAL INSTRUCTIONS AND REQUIREMENTS

7.1. Ineligible Parties to the SOQ

The following individuals and firms (including parent or subsidiary organizations) are serving in an advisory capacity to the CITY for this PROJECT and are therefore prohibited from participating in any capacity as a member of the Design-Build team:

• RNL Interplan, Inc.
• The Le Flore Group LLC
• Clean Energy
• Arcadis, U.S., Inc.
• Converse Consulting
• Advanced Engineering Acoustics
• Subcontractors for RNL:
  ▪ Maintenance Design Group
  ▪ Miyamoto International (MBE)
  ▪ Glumac
  ▪ W2 Design, Inc.
  ▪ Fuel Solutions
  ▪ JYI Estimate
  ▪ Diaz Yourman

Additional persons or firms may be added to or deleted from the list during any stage of the competitive selection process by CITY’s issuance of an addendum.

The CITY intends to hire additional technical support services or consultants for the PROJECT. To avoid real or perceived conflicts of interest, no entity (including its parent or subsidiary organizations) serving in any capacity as a member of the Design-Build Team for the PROJECT will be eligible to contract in a technical support service role with the CITY.

7.2. Conflict of Interest

Each Design-Build Entity submitting a SOQ is responsible for determining whether or not its participation or the participation of other Design-Build Team members in the proposed Design/Build Contract constitutes a conflict of interest or a potential conflict of interest pursuant to California Government Code Sections 1090, 87100 et seq., and other applicable law. Each Design-Build Entity must investigate and manage any potential conflict of interest as part of considering whether to submit a SOQ and when assembling its project team.
The existence of such a conflict of interest is a basis for the CITY to disqualify a Design-Build Entity’s participation in this RFQ process. If the CITY determines that a Design-Build Entity is disqualified because of the existence of such a conflict of interest, it will provide the Design-Build Entity with a written statement of the facts leading to that conclusion.

7.3. **Insurance Requirements**

A. The Design-Builder, at the Design-Builder’s sole cost and expense and for the full term of the Design-Build contract or any extension thereof, will be required to obtain and maintain, at a minimum, all of the insurance requirements outlined in Exhibit A Draft Insurance Requirements. Additional details will be provided during the IFB process.

B. Certain certifications regarding insurance are required as a part of this RFQ process, as provided in Section 5, Division 3 Minimum Requirements for Qualification of the SOQ.

7.4. **Bond Requirements**

A. The Design-Builder will be required to deliver to the CITY performance and payment bonds in forms acceptable to the CITY in the full amount of the estimated construction costs to guarantee the faithful performance and payments. For the purposes of providing performance and payment bonds, the estimated construction cost for this PROJECT is 100% of the Project Value indicated in Section 2.3 Project Budget.

B. Certain certifications regarding bonds are required as provided in Section 5, Division 3.

C. The CITY reserves the right to negotiate the bonding level requirements. However, other guarantees (such as bank letters of credit, etc.) will not be allowed by the CITY in lieu of or in combination with the performance bond requirements.

7.5. **Confidentiality**

All information submitted to the CITY under this RFQ process becomes the exclusive property of the CITY but, if not otherwise a public record under the California Public Records Act (California Government Code section 6250 et seq.), shall not be open to public inspection. All submissions and other correspondence will be subject to the following requirements:

A. This RFQ is based on the model document developed by the California Department of Industrial Relations. Accordingly, pursuant to Public Contract Code Section 20101(a), it is the CITY’s position that all SOQs and related information submitted in response to this RFQ "shall not be public records and shall not be open to public inspection." Barring a court order to the contrary, the CITY will treat all SOQs and related documents as confidential and will not disclose them.
B. The California Public Records Act also recognizes an exception to disclosure of records which contain confidential trade secrets (see Government Code Section 6254(k) and Civil Code Section 3426.1.) The CITY is not in a position to determine what information in a submission, if any, may be subject to one of these exceptions. Accordingly, if a Design-Build Entity believes that any specific portion of its submission is exempt from disclosure under the Public Records Act, the Design-Build Entity must mark the portion of the submission as such and state the specific provision in the Act that provides the exemption and the factual basis for claiming the exemption. For example, if a Design-Build Entity believes a submission contains trade secret information, the Design-Build Entity must plainly mark the information as “Trade Secret” and refer to the appropriate section of the Public Records Act which provides the exemption for such information and the factual basis for claiming the exemption.

7.6. Obligation to Keep Project Team Intact

Respondents are advised that all firms and key personnel identified in the SOQ shall remain on the Project Team for the duration of the procurement process and execution of the PROJECT. If extraordinary circumstances require a change, it must be submitted in writing to the CITY. The CITY, at its sole discretion, will determine whether to authorize a change, recognizing that certain circumstances (such as termination of employment) may occur that are beyond the Design-Builder’s control. Unauthorized changes to the Project Team at any time during the procurement process may result in elimination of the Respondent from further consideration.

7.7. Stipend

No stipend will be paid to Respondents for any costs associated with preparing and submitting SOQs in response to this RFQ or bids in response to the IFB to be issued.

7.8. Appeal Process

The following procedures shall apply when a Respondent desires to dispute the results of the CITY’s SOQ evaluation:

A. There is no right to dispute the RFQ process requirements and/or specifications if any objection thereto could have been addressed by submitting a question and/or objection in accordance with Section 4.1 Communications During RFQ Process. The appeal by the interested party shall be undertaken at the interested party’s expense.

B. Upon written request of the Respondent, the CITY will provide the Respondent with a written notification of the basis for the CITY’s evaluation of their SOQ.

C. To initiate an appeal, the Respondent must notify the CITY in writing that it is appealing the results of the CITY’s evaluation of their SOQ. The appeal must be made no later than seven (7) business days following the date of the CITY’s written notification of the proposed short list.
D. The Respondent initiates an appeal by delivering to the CITY, at the same location
where the SOQs were submitted, a written notice requesting a hearing and setting
forth the basis for the appeal, as well as all of the relevant facts.

E. Failure to file a timely appeal waives any and all rights the Respondent has to
challenge the decision of the CITY regarding the results of the CITY’s evaluation,
whether by administrative process, judicial process or any other legal process or
proceeding.

F. If the Respondent files a timely appeal, an administrative hearing will be conducted
no later than seven (7) business days following the appealing party’s delivery of the
written notice of appeal.

G. The hearing on the appeal will be informal and is not an evidentiary hearing. At the
hearing, the appealing party will be given the opportunity to present information and
reasons in support of its appeal. The hearing officer will consider all evidence,
information and arguments submitted by the appealing party relevant to the appeal,
the CITY’s response to such evidence, information and arguments, and any other
information the hearing officer deems relevant.

H. The CITY will provide a written decision within six (6) business days after the
conclusion of the hearing.

I. If the Respondent chooses not to avail themselves of this appeal process, the
proposed short list will be finalized without further proceedings.

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## SECTION 8 – REQUIRED FORMS

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<thead>
<tr>
<th>Form</th>
<th>Description</th>
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<tbody>
<tr>
<td>A</td>
<td>Transmittal Cover Page</td>
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<tr>
<td>B</td>
<td>Contact Information</td>
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<tr>
<td>C</td>
<td>Addenda Acknowledgement</td>
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<tr>
<td>D</td>
<td>Project Team Information</td>
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<tr>
<td>E</td>
<td>Design-Build Entity Minimum Qualifications</td>
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<tr>
<td>F</td>
<td>General Contractor Scored Questions</td>
</tr>
<tr>
<td>G</td>
<td>Principal Engineer Scored Questions</td>
</tr>
<tr>
<td>H</td>
<td>Score Sheet for General Contractor Minimum Qualifications</td>
</tr>
<tr>
<td>I</td>
<td>Score Sheet for Principal Engineering Minimum Qualifications</td>
</tr>
<tr>
<td>J</td>
<td>Reference Project Data Sheet</td>
</tr>
<tr>
<td>K</td>
<td>Key Personnel Experience</td>
</tr>
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</table>

These required forms are provided in a separate file.

All forms are provided electronically in MS Word format to facilitate preparation for insertion in the Statement of Qualifications.

Please do not complete forms from the RFQ document.
FORM A - TRANSMITTAL COVER PAGE

Response to Request for Statement of Qualifications
to Design and Build the Beeline Maintenance Facility

Design-Build Entity Legal Name
Principal Office Street Address
   City, ST, Zip
Phone Number

Design-Build Entity Legal Structure
   □ Corporation  □ Sole Proprietorship
   □ Partnership  □ Joint Venture
   □ Other (Specify):

Date of Formation or Incorporation
   Under the Laws of Which State

CERTIFICATION

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

I/We certify that this Design-Build Entity is NOT on the U.S. Comptroller General's list of
ineligible firms for federally financed and assisted construction, materials, equipment contracts
or services.

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

DESIGN-BUILD ENTITY SIGNATURE(S)

No Statement of Qualifications shall be accepted which has not been signed in ink in the
appropriate space below. Select the appropriate legal structure for execution of the certification.

1. If Design-Build Entity is an INDIVIDUAL, sign here (include a notarized affidavit attesting
to the authenticity of said signature):

   Printed Name:           Title:

   Signature: ________________________________   Date: ______________
2. If Design-Build Entity is a **PARTNERSHIP** or **JOINT VENTURE**, all general Partners or members shall sign here (include a notarized affidavit attesting to the authenticity of said signatures).

   Partnership/Joint Venture Name:

   Member/Partner Name:                      Title:
   Member/Partner Signature:             ____________________________
   Date:  ___________________________

   Member/Partner Name:                      Title:
   Member/Partner Signature:             ____________________________
   Date:  ___________________________

   Member/Partner Name:                      Title:
   Member/Partner Signature:             ____________________________
   Date:  ___________________________

3. If Design-Build Entity is a **CORPORATION**, the duly authorized officer(s) shall sign as follows:

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

   Corporation Name:

   Printed Name:                      Title:
   Signature:  ____________________________   Date _______________

   Printed Name:                      Title:
   Signature:  ____________________________   Date _______________
4. If Respondent is an **OTHER legal entity**, an authorized representative of the entity shall sign here (include a notarized affidavit attesting to the authenticity of said signatures).

Entity Name:  
Printed Name:  
Title:  
Signature:  ___________________________  Date ____________

5. If the Design-Build Entity is a **FIRM THAT HAS NOT YET BEEN FORMED**, all entities and other parties proposed to comprise such Design-Build Entity shall sign here (include a notarized affidavit attesting to the authenticity of said signatures), the individual signatories making the certification described above on behalf of such entities/parties:

Proposed Design-Build Entity Name:  
On Behalf of Proposed Member/Partner Name:  
Printed Name:  
Title:  
Signature:  ___________________________  Date ____________  
On Behalf of Proposed Member/Partner Name:  
Printed Name:  
Title:  
Signature:  ___________________________  Date ____________  
On Behalf of Proposed Member/Partner Name:  
Printed Name:  
Title:  
Signature:  ___________________________  Date ____________  
On Behalf of Proposed Member/Partner Name:  
Printed Name:  
Title:  
Signature:  ___________________________  Date ____________  

– End of FORM A –
FORM B - CONTACT INFORMATION

The Design-Build Entity must provide all of the following contact information for the Design-Build team. List the person(s) who will be the key contacts for the Design Team. Contact(s) do not need to be Owner or Officer.

CONTACT INFORMATION FOR DESIGN-BUILD ENTITY

The primary and secondary contacts for the Design-Build Entity will be the key contacts for all communications related to this RFQ and subsequent SOQ.

Firm Name:
Primary Representative Name:
Primary Representative Title:
Telephone Number:
Email Address:

Secondary Representative Name:
Secondary Representative Title:
Telephone Number:
Email Address:

Is firm a qualified Design-Build Entity?  ☐ No   ☐ Yes, Qualifying Agency:

CONTACT INFORMATION FOR GENERAL CONTRACTOR (if different from Design-Build Entity)

Firm Name:
Primary Representative Name:
Primary Representative Title:
Telephone Number:
Email Address:

Is firm a qualified Design-Build Entity?  ☐ No   ☐ Yes, Qualifying Agency:
CONTACT INFORMATION FOR PRINCIPAL ENGINEERING FIRM (if different from Entity)

Firm Name:

Primary Representative Name:

Primary Representative Title:

Telephone Number:

Email Address:

Is firm a qualified Design-Build Entity? □ No □ Yes, Qualifying Agency:

CONTACT INFORMATION FOR DESIGN FIRM(S) (if different from Design-Build Entity)

Firm Name:

Primary Representative Name:

Primary Representative Title:

Telephone Number:

Email Address:

Is firm a qualified Design-Build Entity? □ No □ Yes, Qualifying Agency:

Work to be performed:

Firm Name:

Primary Representative Name:

Primary Representative Title:

Telephone Number:

Email Address:

Is firm a qualified Design-Build Entity? □ No □ Yes, Qualifying Agency:

Work to be performed:
Firm Name:

Primary Representative Name:

Primary Representative Title:

Telephone Number:

Email Address:

Is firm a qualified Design-Build Entity? ☐ No ☐ Yes, Qualifying Agency:

Work to be performed:

Firm Name:

Primary Representative Name:

Primary Representative Title:

Telephone Number:

Email Address:

Is firm a qualified Design-Build Entity? ☐ No ☐ Yes, Qualifying Agency:

Work to be performed:

NOTE: Attach additional pages for additional Design-Build team members as necessary.

–End of FORM B–
FORM C - ADDENDA ACKNOWLEDGMENT

CONTRACTOR NAME:

CONTRACTOR hereby acknowledges that it has received and read the following Addenda:

Addendum #       Signature _____________________________
Addendum #       Signature _____________________________
Addendum #       Signature _____________________________
Addendum #       Signature _____________________________
Addendum #       Signature _____________________________

–End of FORM C–
FORM D - PROJECT TEAM INFORMATION

1. GENERAL CONTRACTOR INFORMATION

General Contractor Legal Name
Principal Office Street Address
City, ST, Zip
Phone Number
General Contractor Legal Structure  
☐ Corporation  ☐ Partnership  ☐ Joint Venture  
☐ Other (Specify):

Date of Formation or Incorporation
Under the Laws of Which State

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

<table>
<thead>
<tr>
<th>Name</th>
<th>Position/Title</th>
<th>Years with Corporation</th>
<th>% Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEO</td>
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<tr>
<td>President</td>
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<td>Secretary</td>
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<td>Treasurer</td>
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</table>
Identify every construction firm that any person listed above has been associated with as owner, general partner, limited partner or officer at any time during the last five years immediately before the date of issuance of this RFQ.

For this information, “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.

**NOT A PUBLIC RECORD**

<table>
<thead>
<tr>
<th>Name</th>
<th>Name of Construction Firm</th>
<th>Dates of Person’s Participation with Firm</th>
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<tbody>
<tr>
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B. If the General Contractor is a *sole proprietorship*, complete the following:

<table>
<thead>
<tr>
<th>Owner Name</th>
<th>Years as Owner</th>
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</thead>
<tbody>
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</tbody>
</table>

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

For this information, “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.

**NOT A PUBLIC RECORD**

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</table>
C. If the General Contractor is a **joint venture, partnership, or other legal entity (other than corporation)**, provide all the following information as of the date of issuance of this RFQ for each member of the joint venture, each partner or each other legal entity member who owns ten percent (10%) or more of the firm.

<table>
<thead>
<tr>
<th>Name of Individual or Entity</th>
<th>Principal Contact Name</th>
<th>Position</th>
<th>Years with JV / Partnership / Association</th>
<th>% Ownership / Interest</th>
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</table>

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

For this information, “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.

**NOT A PUBLIC RECORD**

<table>
<thead>
<tr>
<th>Name</th>
<th>Name of Construction Firm</th>
<th>Dates of Person’s Participation with Firm</th>
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<tbody>
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</table>

D. Has there been any change in ownership of the General Contractor at any time during the last three (3) years immediately before the date of issuance of this RFQ? A corporation whose shares are publicly traded is not required to answer this question but must check the “Publicly Traded” box.

☐ Yes         ☐ No         ☐ Publicly Traded

*If “yes,” explain on a separate page.*
E. Is the General Contractor a subsidiary, parent, holding company or affiliate of another construction or design firm?

☐ Yes  ☐ No

*If “yes,” include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.*

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

☐ Yes  ☐ No

*If “yes,” include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.*

G. List all license numbers, classifications and expiration dates of the California contractor’s licenses held by the General Contractor, including any licenses or registration with the California Department of Industrial Relations required in accordance with SB 854:

<table>
<thead>
<tr>
<th>License Number</th>
<th>Trade Classification</th>
<th>Date Issued</th>
<th>Expiration Date</th>
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<tbody>
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</tbody>
</table>

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

<table>
<thead>
<tr>
<th>License Number</th>
<th>Trade Classification</th>
<th>Qualifying Individual Name</th>
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</thead>
<tbody>
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</tbody>
</table>
I. Has the General Contractor changed names or license numbers in the past five (5) years immediately before the date of issuance of this RFQ?

☐ Yes ☐ No

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

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

☐ Yes ☐ No

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

K. Provide surety information for General Contractor.

Bonding Company./Surety Name:

Surety Agent name:

Surety Agent Street Address:

City, ST, Zip:

Phone Number:

L. Provide all other sureties (name and full address) that have written bonds for the General Contractor during the last five (5) years immediately before the date of issuance of this RFQ. Include the periods during which each wrote the bonds.

<table>
<thead>
<tr>
<th>Surety Company Name</th>
<th>Street Address City, ST, ZIP</th>
<th>Periods of Coverage</th>
</tr>
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<tbody>
<tr>
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(REMAINDER OF THIS PAGE INTENTIONALLY LEFT BLANK)
2. PRINCIPAL ENGINEERING FIRM INFORMATION

Principal Engineering Firm Legal Name:
Principal Office Street Address:
City, ST, Zip:
Phone Number:
Principal Engineering Firm Legal Structure: □ Corporation
□ Partnership  □ Joint Venture
□ Other (Specify):

Date of Formation or Incorporation:
Under the Laws of Which State:
Name of Principal Engineer:
License Number of Principal Engineer:
Years in Practice for Principal Engineer:

Is the Principal Engineering Firm different from that of the General Contractor?
□ Yes. Answer all questions below.
□ No. Proceed to Question 11.

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

<table>
<thead>
<tr>
<th>Name</th>
<th>Position/Title</th>
<th>Years with Corporation</th>
<th>% Ownership</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEO</td>
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<td>President</td>
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<td>Secretary</td>
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</table>
B. If the Principal Engineering Firm is a **sole proprietorship**, complete the following:

<table>
<thead>
<tr>
<th>Owner</th>
<th>Years as Owner</th>
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</table>

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

<table>
<thead>
<tr>
<th>Name of Individual or Entity</th>
<th>Principal Contact Name</th>
<th>Position</th>
<th>Years with JV / Partnership / Association</th>
<th>% Ownership / Interest</th>
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</table>

D. Has there been any change in ownership of the Principal Engineering Firm at any time during the last three (3) years immediately before the date of issuance of this RFQ? A corporation whose shares are publicly traded is not required to answer this question but must check the “Publicly Traded” box.

☐ Yes  ☐ No  ☐ Publicly Traded

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

E. Is the Principal Engineering Firm a subsidiary, parent, holding company or affiliate of another design or construction firm? Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.

☐ Yes  ☐ No

*If “yes,” include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.*
F. Has any corporate officers, partners or owners of the Principal Engineering Firm worked for any other engineering or architectural firms in the past five (5) years (immediately before the date of issuance of this RFQ)? Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.

☐ Yes    ☑ No

If “yes,” explain on a separate page.

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

☐ Yes      ☐ No

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

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

<table>
<thead>
<tr>
<th>Engineer/ Architect</th>
<th>Discipline</th>
<th>License Number</th>
<th>Years in Practice</th>
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3. INFORMATION ABOUT THE OTHER DESIGN FIRMS, IF ANY

A. For each of the Other Design Firms identified in Form B - Contact Information, if any, provide the information below.

Name of Other Design Firm:
Element of Design to be Performed:

Provide the following information for all known Engineers and Architects of this Other Design Firm who will be working on the design for this PROJECT.

<table>
<thead>
<tr>
<th>Engineer/ Architect</th>
<th>Discipline</th>
<th>License Number</th>
<th>Years in Practice</th>
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</table>

B. For each of the Other Design Firms identified in Form B, Contact Information, if any, provide the information below.

Name of Other Design Firm:
Element of Design to be Performed:

Provide the following information for all known Engineers and Architects of this Other Design Firm who will be working on the design for this PROJECT.

<table>
<thead>
<tr>
<th>Engineer/ Architect</th>
<th>Discipline</th>
<th>License Number</th>
<th>Years in Practice</th>
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Attach additional pages for additional Other Design Firms if necessary.

– End of FORM D –
FORM E - DESIGN-BUILD ENTITY MINIMUM REQUIREMENTS

The Design-Build Entity is automatically disqualified if the answer to any of questions 1 through 5 is “No”.

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

☐ Yes  ☐ No

2. Refer to Exhibit A – Insurance Requirements of this RFQ regarding insurance requirements for this PROJECT. Is the Design-Build Entity able to obtain (or has) insurance in the limits stated in Exhibit A – Insurance Requirements?

☐ Yes  ☐ No

If “Yes”, provide a notarized declaration from the Insurance Company or from the broker/agent stating that the Design-Build Entity is able to obtain or has insurance in the limits stated in Exhibit A – Insurance Requirements.

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

☐ Yes  ☐ No

4. Is the Design-Build Entity able to obtain performance and payment bonds for the PROJECT, which is expected to involve a construction contract cost as defined in Section 2.3 of this RFQ?

☐ Yes  ☐ No

If “Yes”, provide surety information for Design-Build Entity.

Bonding Company./Surety Name:

Surety Agent name:

Surety Agent Street Address:

City, ST, Zip:

Phone Number:

Provide a notarized statement from the Surety Company stating the amount of bonding currently available to the Design-Build Entity for this estimated construction contract cost. The notarized statement must be from the surety company, not an agent or broker.
5. Has the financial information required in DIVISION 7: FINANCIAL CAPABILITY been provided?

☐ Yes  ☐ No

*Note: Include the financial information in DIVISION 7: FINANCIAL.*

The Design-Build Entity is automatically disqualified if the answer to any of questions 6 through 12 is “Yes”.

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

☐ Yes  ☐ No

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

☐ Yes  ☐ No

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

☐ Yes  ☐ No

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

☐ Yes  ☐ No

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

☐ Yes  ☐ No

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

☐ Yes  ☐ No
12. Has any professional license, credential or registration held by any Engineer who will provide services been revoked or suspended at any time in the last five years immediately before the issuance of this RFQ?

☐ Yes ☐ No

The Design-Build Entity is automatically disqualified if the answer to any of questions 13 through 16 are “No”.

13. Do all architects, lead design engineers, and the principal engineer who are expected to work on the PROJECT possess current California professional licenses for the services which they intend to provide?

☐ Yes ☐ No

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

☐ Yes, the Design-Build Entity and all subcontractors will use a "skilled and trained workforce."

☐ No

15. Has the principal engineering firm that will design the PROJECT, completed the design of at least 3 public works facilities within the last 15 years before issuance of this RFQ?

For the purpose of this question, the design work must be 100% complete and construction is either in progress or completed.

☐ Yes ☐ No

State the name of the projects below and list the projects in Part V: Design-Build Entity and Design-Build Team Experience:
16. Has the general contractor that will construct the PROJECT, completed the construction of at least three public works projects in the United States with final project value of at least $10 million (in 2015 dollars) within the last 15 years before issuance of this RFQ,?

Refer to Division 5 for definition of “project value”. For the purpose of this question, the construction work is 100% complete and the project has passed the start-up, testing, and commissioning for all facility system components.

☐ Yes  ☐ No

State the name of the projects below and list the projects in Part V: Design-Build Entity and Design-Build Team Experience:


17. Experience Modification Rate (EMR). The Design-Build Entity is automatically disqualified if the three-year average EMR exceeds 1.0.

A. Provide the required EMR Rate for the General Contractor that has performed work in California. List the General Contractor’s EMR (California workers’ compensation insurance rate) for each of the past three premium years and calculate the three-year average.

<table>
<thead>
<tr>
<th>Premium Year</th>
<th>EMR</th>
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<tbody>
<tr>
<td>Most recent available year</td>
<td></td>
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<tr>
<td>Previous year</td>
<td></td>
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<tr>
<td>Year prior to previous year</td>
<td></td>
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<tr>
<td><strong>Three-year average EMR:</strong></td>
<td></td>
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</tbody>
</table>

B. Provide the required Interstate EMR Rate for the General Contractor that has not performed work in California. If your firm has not performed work in California during at least the three most recent years, you must list below your firm’s Interstate Experience Modification Rate for each of the past three premium years and calculate the three-year average.

You must also attach to this submittal documentation clearly showing an Interstate Experience Modification Rate for each of the past three premium years.

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

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<thead>
<tr>
<th>Premium Year</th>
<th>Interstate EMR</th>
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<tbody>
<tr>
<td>Most recent available year</td>
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<tr>
<td>Previous year</td>
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<tr>
<td>Year prior to previous year</td>
<td></td>
</tr>
<tr>
<td><strong>Three-year average Interstate EMR:</strong></td>
<td></td>
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</tbody>
</table>
For questions 18 through 20: The average total recordable injury and illness rate (also known as OSHA Incidence Rate) and average lost work rate (also known as the Lost Workday Incidence Rate) for the most recent three-year period must not exceed the applicable statistical standards for its business category. As an alternative, a Design-Build Entity may be deemed to have an acceptable safety record in those categories if the Design-Build Entity is a party to an alternative dispute resolution system as provided for in Section 3201.5 of the Labor Code. Should none of these requirements be met, then the Design-Build Entity is automatically disqualified.

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

<table>
<thead>
<tr>
<th>Premium Year</th>
<th>Average total recordable injury/illness rate</th>
<th>Applicable statistical standard for that year</th>
<th>Applicable business category (describe category)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Most recent available year</td>
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<td>Previous year</td>
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<td>Year prior to previous year</td>
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<tr>
<td><strong>Three-year average:</strong></td>
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19. List the General Contractor’s lost work rate for each of the past three premium years, and include the applicable statistical standard for that year of the appropriate category; calculate the three-year average.

<table>
<thead>
<tr>
<th>Premium Year</th>
<th>Average lost work rate</th>
<th>Applicable statistical standard for that year</th>
<th>Applicable business category (describe category)</th>
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</thead>
<tbody>
<tr>
<td>Most recent available year</td>
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<td>Previous year</td>
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<td>Year prior to previous year</td>
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<tr>
<td><strong>Three-year average:</strong></td>
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</table>
20. Is your firm a party to an alternative dispute resolution system as provided for in Section 3201.5 of the Labor Code?

☐ Yes  ☐ No

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

– End of FORM E –
FORM F - GENERAL CONTRACTOR SCORED QUESTIONS

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

Name of General Contractor:

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

☐ 10 years or more  ☐ 8 to 9 years  ☐ 6 to 7 years  ☐ 5 years or less

Failure to provide documentation for a “Yes” answer to Questions F-2 and F-3 may result in immediate Design-Build Entity disqualification.

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

☐ Yes  ☐ No

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

F-3. Was the General Contractor in bankruptcy at any time during the last five (5) years immediately before the issuance of this RFQ? This question refers only to a bankruptcy action that was not described in answer to question F-2, above.

☐ Yes  ☐ No

If “yes,” provide 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.

Failure to provide an explanation for “Yes” answer to Questions F-4 to F-14 may result in immediate Design-Build Entity disqualification.

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

☐ Yes  ☐ No

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

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

☐ Yes  ☐ No

If “yes,” explain on a separate page.
F-6. In the last five (5) years immediately before the issuance of this RFQ has the General Contractor been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

☐ Yes ☐ No

If “yes,” explain on a separate page. State the name of the organization debarred, the name of the person within your firm who was associated with that organization, the year of the event, the owner of the project, and the basis for the action.

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

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

☐ Yes ☐ No

If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

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

☐ Yes ☐ No

If “yes,” on a separate page identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim if pending, or if resolved, a brief description of the resolution.

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

☐ No

☐ Yes, one unresolved Stop Notice

☐ Yes, two or more unresolved Stop Notices

If “yes,” explain on a separate page. Identify the year of the event, the owner, the project and the detailed explanation for the Stop Notice.
F-10. In the last five (5) years immediately before the issuance of this RFQ has any insurance carrier, or any form of insurance, refused to renew the insurance policy for the general contractor due to non-payment or contractor losses?

☐ Yes ☐ No

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

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

☐ Yes ☐ No

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

F-12. Has the general contractor *ever* been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any private or public agency or entity?

☐ Yes ☐ No

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

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

☐ Yes ☐ No

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

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

☐ Yes ☐ No

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

F-15. Has CAL OSHA or any other state OSHA agency cited and assessed penalties against the general contractor for any “serious,” “willful” or “repeat” violations of its safety or health regulations in the past five (5) years? If General Contractor has filed an appeal of a citation, and the state’s Occupational Safety and Health Appeals Board has not yet ruled on the appeal, General Contractor need not include information about it.

☐ Yes ☐ No
If “yes,” attach a separate page describing all citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, and the amount of penalty paid, if any. If any citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision.

F-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the General Contractor in the past five (5) years immediately before the issuance of this RFQ? If General Contractor has filed an appeal of a citation and the Appeals Board has not yet ruled on the appeal, or if there is a court appeal pending, General Contractor need not include information about the citation.

☐ Yes ☐ No

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

F-17. Has the EPA, any Air Quality Management City or any Regional Water Quality Control Board cited and assessed penalties against either the General Contractor or the owner of a project on which the preceding parties were performing on a contract in the past five (5) years? If an appeal of a citation has been filed and the Appeals Board has not yet ruled on the appeal, or if there is a court appeal pending, you need not include information about the citation.

☐ Yes ☐ No

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

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

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

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

☐ Yes ☐ No

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

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

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

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

F-21. If the General Contractor operates its own State-approved apprenticeship program, provide the following information on a separate page and insert in this Division 4:

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

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

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

F-22. At any time during the last five (5) years immediately before the issuance of this RFQ, has the General Contractor been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

☐ Yes ☐ No

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

Date of Findings:

– End of FORM F –
FORM G - PRINCIPAL ENGINEER SCORED QUESTIONS

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

Name of Principal Engineering Firm:

Name of Principal Engineer:

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

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

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

- ☐ Yes
- ☐ No

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

G-3. Was the Firm in bankruptcy at any time during the last five (5) years immediately before the issuance of this RFQ? This question refers only to a bankruptcy action that was not described in answer to question G-2, above.

- ☐ Yes
- ☐ No

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

Failure to provide an explanation for “yes” answer to Questions G-4 to G-6 may result in immediate Design-Build Entity disqualification.

G-4. In the last five (5) years immediately before the issuance of this RFQ has the Principal Engineer or the Firm been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

- ☐ Yes
- ☐ No

*If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.*

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

- ☐ Yes
- ☐ No

*If “yes,” on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).*
G-6. In the past five (5) years immediately before the issuance of this RFQ has the principal engineer or the firm made any claim, dispute or lawsuit in excess of $50,000 against a project owner concerning its design work on a project or payment for a contract and filed that claim in court or arbitration?

☐ Yes  ☐ No

If “yes,” on a separate page identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court in which the case was filed and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

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

☐ Yes  ☐ No

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

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

☐ Yes  ☐ No

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

G-9. Has the Principal Engineer or the Firm ever been found liable in a civil suit or found guilty in a criminal action for making any false claim or material misrepresentation to any private or public agency or entity?

☐ Yes  ☐ No

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

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

☐ Yes  ☐ No

If “yes,” explain on a separate page, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.
G-11. Has the Principal Engineer or the Firm ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

☐ Yes  ☐ No

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

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

☐ Yes  ☐ No

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

– End of FORM G –
FORM H - SCORE SHEET FOR GENERAL CONTRACTOR
MINIMUM QUALIFICATIONS

A minimum score of 105 or more must be attained on this score sheet to rate the general contractor as qualified. A contractor score of 104 or less will rate the general contractor as unqualified which in turn disqualifies the Design-Build Entity.

Scoring for this form is based on the answers prepared on Form F Project Team Minimum Qualifications.

Reminder: Failure to provide an explanation for a “Yes” answer to Questions F-2 to F-14 may result in Design-Build Entity disqualification.

<table>
<thead>
<tr>
<th>Question #</th>
<th>Score Value Per Answer</th>
<th>Score</th>
</tr>
</thead>
</table>
| Form F-1   | 10 years and more = 10 pts  
8 to 9 years = 6 pts  
6 to 7 years = 3 pts  
5 years or less = 0 pts  
Yes = 0 pts |  |  |
| Form F-2   | No = 10 pts  
Yes = 0 pts |  |  |
| Form F-3   | No = 10 pts  
0 Project = 10 pts  
1 Project = 7 pts  
2 Projects = 3 pts  
More than 2 Projects = 0 pts  
Yes = 0 pts |  |  |
| Form F-4   | No = 10 pts  
5 pts for 0 or 1 instance  
3 pts for 2 instances  
0 pts for more than 2 instances  
5 pts for 0 or 1 instance  
3 pts for 2 instances  
0 pts for more than 2 instances  
Yes = 0 pts |  |  |
| Form F-5   | No = 5 pts  
Yes = 0 pts |  |  |
| Form F-6   | No = 10 pts  
5 pts for 0 or 1 instance  
3 pts for 2 instances  
0 pts for more than 2 instances  
5 pts for 0 or 1 instance  
3 pts for 2 instances  
0 pts for more than 2 instances  
Yes = 0 pts |  |  |
| Form F-7   | No = 5 pts  
Yes = 0 pts |  |  |
| Form F-8   | Yes = -5 pts  
No = 10 pts  
Yes = -10 pts  
No = 5 pts  
Yes = -10 pts  
No = 5 pts |  |  |
| Form F-9   | Yes = 0 pts  
No = 5 pts  
Yes = 0 pts  
No = 5 pts  
Yes = 0 pts  
No = 5 pts |  |  |
| Form F-10  | Yes = 0 pts  
No = 5 pts  
Yes = 0 pts  
No = 5 pts  
Yes = 0 pts  
No = 5 pts |  |  |
| Form F-11  | Yes = -5 pts  
No = 10 pts  
Yes = -10 pts  
No = 5 pts  
Yes = -10 pts  
No = 5 pts |  |  |
| Form F-12  | Yes = -10 pts  
No = 5 pts  
Yes = -10 pts  
No = 5 pts  
Yes = -10 pts  
No = 5 pts |  |  |
| Form F-13  | Yes = -10 pts  
No = 5 pts  
Yes = -10 pts  
No = 5 pts  
Yes = -10 pts  
No = 5 pts |  |  |
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<td>5 pts for 0 to 1 instance</td>
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<td>Form F-17</td>
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<tr>
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<td>5 pts for 0 instance</td>
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<td>5 pts for 0 to 2 instances</td>
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<td>Form F-22</td>
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Total Score

The maximum possible total score is 140 *(Disqualified if less than 105)*

-- End of FORM H --
FORM I - SCORE SHEET FOR PRINCIPAL ENGINEERING MINIMUM QUALIFICATIONS

A minimum score of 75 or more must be attained on this score sheet to rate the principal engineering firm as qualified. A score of 74 or less will rate the principal engineering firm as unqualified which in turn disqualifies the Design-Build Entity.

Scoring for this form is based on the answers prepared on Form G Principal Engineer Minimum Qualifications

Reminder: Failure to provide an explanation for a “Yes” answer to Questions G-4 to G-6 may result in Design-Build Entity disqualification.

<table>
<thead>
<tr>
<th>Question #</th>
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<td>10 to14 years = 7pts</td>
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<tr>
<td></td>
<td>Less than 10 years = 0 points</td>
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</tr>
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<td></td>
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<td>Form G-3</td>
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<tr>
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<td></td>
<td>4 pts for 1-3 instances</td>
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<tr>
<td></td>
<td>0 pts for more than 3 instances</td>
<td></td>
</tr>
<tr>
<td>Form G-5</td>
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<td></td>
</tr>
<tr>
<td></td>
<td>4 pts for 1-2 instances</td>
<td></td>
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<tr>
<td></td>
<td>0 pts for more than 2 instances</td>
<td></td>
</tr>
<tr>
<td>Form G-6</td>
<td>7 pts for 0 or 1 instance</td>
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<td></td>
<td>4 pts for 2 instances</td>
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<td></td>
<td>0 pts for more than 2 instances</td>
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<tr>
<td>Form G-7</td>
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<tr>
<td></td>
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<td>Form G-8</td>
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<tr>
<td></td>
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<td>Form G-10</td>
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<td></td>
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<td>Form G-11</td>
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<tr>
<td></td>
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</tr>
<tr>
<td></td>
<td>No = 7 pts</td>
<td></td>
</tr>
</tbody>
</table>

Total Score

The maximum possible total score is 100 (Disqualified if less than 75)

– End of FORM I –
FORM J - REFERENCE PROJECT DATA SHEET

Project Number:

Attribute Project To:  ☐ Principal Engineering Firm
                      ☐ General Contractor

Project Name:

Project Location (City, State):

Owner Agency Name:

Owner Contact Name:

Owner Street Address:

City, ST, Zip:

Owner Contact Phone Number:

Owner Contact Email:

Project Delivery Method  ☐ Design-Build  ☐ Design-Bid-Build
                      ☐ Design-Build-Operate
                      ☐ Other (Specify)

Contract Value at Time of Award:  $ in 2015 dollars

Final Contract Value:  $ in 2015 dollars

Scheduled Completion Date at Award

Number of Time Extensions:

Total Number of Days Extended:

Contract End Date:

Actual Completion Date:

Date of Recorded Notice of Completion:

General Contractor:

Scheduled Completion Date at Award

Principal Engineer:

Principal Design:

– End of FORM J –
## FORM K - KEY PERSONNEL EXPERIENCE

<table>
<thead>
<tr>
<th>Key Personnel Name</th>
<th>Firm Name</th>
<th>Experience in Years</th>
<th>Assignment for this PROJECT</th>
<th>Reference Project Data Sheet No.*</th>
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<tr>
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<td>Professional</td>
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<td></td>
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<td>Public Transit Projects</td>
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<td>Design Build Projects</td>
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<td>Role &amp; Responsibility</td>
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<td></td>
<td></td>
<td></td>
<td>% of Time</td>
<td></td>
</tr>
</tbody>
</table>

* If Key Personnel were part of a reference project submitted on a Form J Reference Project Data Sheet, indicate the project number

— End of FORM K —
## SECTION 9 – EXHIBITS

<table>
<thead>
<tr>
<th>Exhibit</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Insurance Requirements</td>
</tr>
<tr>
<td>B</td>
<td>Site Plans</td>
</tr>
</tbody>
</table>
EXHIBIT A: INSURANCE REQUIREMENTS

(Design-Build)

1.0 REQUIRED INSURANCE POLICIES

At its own expense, Design-Builder shall obtain, pay for, and maintain— and shall require each of its Subcontractors to obtain and maintain— for the duration of the Construction Contract, policies of insurance meeting the following requirements:

A. Workers' Compensation/Employer's Liability Insurance.
   1. Complete Workers' Compensation insurance, meeting or exceeding the coverages and amounts that California law requires; and
   2. Employer's Liability insurance must be in an amount not less than:
      a. **ONE MILLION DOLLARS ($1,000,000)** per accident for bodily injury or disease;
      b. **ONE MILLION DOLLARS ($1,000,000)** per employee for bodily injury or disease; and
      c. **ONE MILLION DOLLARS ($1,000,000)** policy limit.

B. Commercial General Liability ("CGL") Insurance (primary).
   1. City and its officers, agents, employees and representatives must be added as additional insureds, not limiting coverage for the additional insured to "ongoing operations" or in any way excluding coverage for completed operations. Coverage must apply on a primary, non-contributing basis in relation to any other insurance or self-insurance, primary or excess, available to City or any officer, agent, employee, or representative of City (collectively, "City and its representatives"). Coverage must not be limited to the vicarious liability or supervisory role of any additional insured.
   2. Coverage afforded to "City and its representatives" must be at least as broad as that afforded to Design-Builder. If Design-Builder has higher limits than the limits specified in these insurance requirements, or has additional broader coverage, or has both, the insurer shall make available the higher limits and broader coverage to "City and its representatives."
   3. Coverage must not contain a contractors' limitation or other endorsement limiting the scope of coverage for liability arising from explosion, collapse, or underground property damage.
   4. CGL insurance must not be written for less than the limits of liability specified as follows:
a. **TWO MILLION DOLLARS ($2,000,000)** per occurrence, or the full per occurrence limits of the policy, whichever limit is greater, for bodily injury (including accidental death) to any one person;

b. **TWO MILLION DOLLARS ($2,000,000)** per occurrence, or the full per occurrence limits of the policy, whichever limit is greater, for personal and advertising injury to any one person;

c. **TWO MILLION DOLLARS ($2,000,000)** per occurrence, or the full per occurrence limits of the policy, whichever limit is greater, for property damage; and

d. **THREE MILLION DOLLARS ($3,000,000)** general aggregate limit, or the full aggregate limits of the policy, whichever limit is greater.

5. CGL insurance must include all major divisions of coverage and must cover:

a. **Railroad Protective coverage**

b. Premises Operations (including Explosion, Collapse, and Underground ['X,C,U'] coverages as applicable);

c. Independent Contractor's Protective;

d. Independent Contractors;

e. Products and Completed Operations (maintain same limits as above until five (5) years after recordation of Notice of Completion);

f. Personal and Advertising Injury (with Employer's Liability Exclusion deleted);

g. Contractual Liability (including specified provision for Design-Builder's obligation under the General Conditions); and

h. Broad Form Property Damage.

6. Umbrella or Excess Liability Insurance (over primary), if provided, must be at least as broad as any underlying coverage. Umbrella or excess liability coverage must apply on a primary, non-contributory basis for the benefit of “City and its representatives,” before the umbrella or excess liability insurer calls upon “City's and its representatives’’ primary insurance policy, or self-insurance program, or umbrella or excess liability insurance, or any combination of these insurance policies or programs. Coverage must be provided on a “pay on behalf” basis, with defense costs payable in addition to policy limits. The policy must not have a cross liability exclusion, or a contractor's limitation endorsement, or both. The policy must have starting and ending dates concurrent with the underlying coverages. The Named Insured may determine the layering of primary and excess liability insurance provided that if such layering differs from that described here, the actual coverage program meets the minimum total required limits and complies with all other requirements listed here.

C. Professional Liability Insurance.
1. Without limiting Design-Builder’s liability, Design-Builder (at Design-Builder’s sole expense) shall obtain, pay for, and maintain—and shall require each of its subcontractors, who provide professional design services, to obtain and maintain—a Professional Liability Insurance policy.

2. The Professional Liability policy must:
   a. Include “errors and omissions coverage” or “malpractice” coverage;
   b. Cover a claim or claims arising out of the performance of professional services by Design-Builder, its Subcontractors, or by anyone it directly or indirectly employs, or by anyone for whose acts any of them may be liable, including liability assumed under and arising from the Contract;
   c. Provide limits of liability in an amount not less than:
      ONE MILLION DOLLARS ($1,000,000) per claim; and
      TWO MILLION DOLLARS ($2,000,000) in the aggregate; and
   d. Provide coverage throughout the term of the Contract and for at least five (5) years after the Project’s completion:
      i. Design-Builder shall obtain, pay for, and maintain an endorsement that adds an “extended reporting period” (“ERP”) or a “discovery” feature—to allow City to report a claim—for a period of not less than five (5) years following the initial policy’s expiration, or following City’s recordation of its “notice of completion” for the Project, whichever date is later. The endorsement for the ERP or discovery feature must provide identical policy limits, and meet the conditions, described in subparagraphs C.1.a. through C.1.c. above; or
      ii. Design-Builder shall obtain, pay for, and maintain successive renewal or replacement policies (with “prior acts” coverage), for a period of five (5) years following the initial policy’s expiration, or following City’s recordation of its “notice of completion” for the Project, whichever date is later. Each policy must have a “retroactive date” that coincides with, or is earlier than, the Contract’s Effective Date. Additionally, each policy must provide identical policy limits, and meet the conditions, described in subparagraphs C.1.a. through C.1.c. above.

3. All ERP or discovery endorsements, renewal policies, and replacement coverage policies are subject to City’s review and approval, in its sole discretion.

4. Design-Builder shall pay the full amount of a deductible, or a self-insured retention, or both, per claim for coverage under the Professional Liability Insurance policy.

D. Business Automobile Liability Insurance
1. Business Automobile Liability Insurance must cover all vehicles, whether rented, leased, hired, scheduled, owned or non-owned. If Design-Builder does not own any vehicles, this requirement may be satisfied by a non-owned vehicle endorsement to the general and umbrella liability policies. Business Automobile Liability Insurance coverage amounts must not be less than the following:

   a. **ONE MILLION DOLLARS ($1,000,000)** per occurrence for bodily injury (including accidental death) to any one person; and

   b. **ONE MILLION DOLLARS ($1,000,000)** per occurrence for property damage; or

   c. **TWO MILLION DOLLARS ($2,000,000)** combined single limit.

E. Contractors Pollution Liability Insurance (CPL) —

1. Design-Builder or Subcontractor shall obtain, pay for, and maintain for the duration of the Contract Contractors Pollution Liability insurance that provides coverage for liability caused by pollution conditions arising out of the operations of the Design-Builder. Coverage must be included on behalf of the insured for covered claims arising out of the actions of independent contractors. If the insured is using Subcontractors, the policy must include work performed “by or on behalf” of the insured.

2. The policy limit must provide coverage of no less than **TWO million dollars ($2,000,000)** per claim and in the aggregate. Coverage must apply to bodily injury; property damage, including loss of use of damaged property or of property that has not been physically inured; cleanup costs; and costs of defense, including costs and expenses incurred in the investigation, defense, or settlement of claims.

3. All activities contemplated in the Contract must be specifically scheduled on the CPL policy as “covered operations.” In addition, the policy must provide coverage for the hauling of waste from the Project site to the final disposal location, including non-owned disposal sites.

4. The policy must specifically provide for a duty to defend on the part of the insurer. City, its officers, agents, employees, and representatives must be added to the policy as additional insureds by endorsement. Coverage afforded to “City and its representatives” must be at least as broad as that afforded to Design-Builder. If Design-Builder has higher limits than the limits specified in these insurance requirements, or has additional broader coverage, or has both, the insurer shall make available the higher limits and broader coverage to “City and its representatives.”

F. Builder's Risk Insurance.

1. Builder's Risk Insurance covering all real and personal property for “all risks” of loss or “comprehensive perils” coverage, including, but not limited to, the perils of earth movement including earthquake and flood for all buildings, structures, fixtures, materials, supplies, machinery and equipment to be used in or incidental to the construction at the site, off site, or in transit, for the full replacement value of such properties. Coverage must be included for property of others in the care, custody or control of the insured for which any insured may be liable. The City will purchase a builder's risk policy for the
Project instead of a contractor purchased policy. Bidder should not include cost for this coverage in his/her bid.

2.0 GENERAL REQUIREMENTS—ALL POLICIES

A. Qualifications of Insurer. At all times during the term of this Contract, Design-Builder's insurance company must meet all of the following requirements:

1. "Admitted" insurer by the State of California Department of Insurance or be listed on the California Department of Insurance’s “List of Approved Surplus Line Insurers” (LASLI);

2. Domiciled within, and organized under the laws of, a State of the United States; and

3. Carry an A.M. Best & Company minimum rating of "A-: VII".

B. Continuation Coverage. For insurance coverages that are required to remain in force after the Final Payment, and if reasonably available, Design-Builder shall submit to City, with the final Application for Payment, all certificates and additional insured endorsements evidencing the continuation of such coverage.

C. Deductibles or Self-Insured Retentions. All deductibles or self-insured retentions are subject to City's review and approval, in its sole discretion. Any “self-insured retention” must be declared. City reserves the right to require the self-insured retention to be eliminated or replaced by a deductible. Self-funding, policy fronting or other mechanisms to avoid risk transfer are not acceptable. If Design-Builder has such a program, Design-Builder shall fully disclose such program to City.

D. Commercial General Liability and Business Automobile insurance policies must be written on an "occurrence" basis and must add the City of Glendale and its officers, agents, employees and representatives as additional insureds.

E. Design-Builder's Insurance Primary. Other insurance (whether primary, excess, contingent or self-insurance, or any other basis) available to "City and its representatives" is excess over Design-Builder's insurance (whether primary, excess, contingent or self-insurance, or any other basis). "City’s and its representatives” insurance (whether primary, excess, contingent or self-insurance, or any other basis) will not contribute with Design-Builder’s insurance policy or policies.

F. Waiver of Subrogation. Design-Builder and Design-Builder's insurance company waive— and shall not exercise— any right of recovery or subrogation that Design-Builder or the insurer may have against "City and its representatives.”

G. Separation of Insureds. Design-Builder's insurance policy applies separately to each insured or additional insured who is seeking coverage, or against whom a claim is made or suit is brought, except that the naming of multiple insureds will not increase an insurance company's limits of liability.
H. Claims by Other Insureds. Design-Builder’s insurance policy applies to a claim or suit brought by an additional insured against a Named Insured or other insured, arising out of bodily injury, personal injury, advertising injury, or property damage.

I. A liability policy must not contain any provision or definition that would serve to eliminate so-called “third party action over” claims, including any exclusion for bodily injury to an employee of the insured or of any contractor or subcontractor.

J. Premiums. City is not liable for a premium payment or another expense under Design-Builder’s policy.

K. At any time during the duration of this Contract, City may do any one or more of the following:

1. Review the insurance coverage requirements;

2. Require that Design-Builder obtain, pay for, and maintain more insurance depending on City’s assessment of any one or more of the following factors:
   a. City’s risk of liability or exposure arising out of, or in any way connected with, the services of Design-Builder under the Contract;
   b. The nature or number of accidents, claims, or lawsuits arising out of, or in any way connected with, the services of Design-Builder under the Contract; or
   c. The availability, or affordability, or both, of increased liability insurance coverage.

3. Obtain, pay for, or maintain a bond (as a replacement for an insurance coverage) from a California corporate surety, guaranteeing payment to City for liability, or costs, or both, that City incurs during City’s investigation, administration, or defense of a claim or a suit arising out of the Contract; or

L. Design-Builder shall maintain the insurance policy without interruption, from the Project’s commencement date to the Final Payment date, or until a date that City specifies for any coverage that Design-Builder must maintain after the Final Payment.

M. Design-Builder shall not allow any insurance to expire, cancel, terminate, lapse, or non-renew. Design-Builder’s insurance company shall mail City written notice at least thirty (30) days in advance of the policy’s cancellation, termination, non-renewal, or reduction in coverage and ten (10) days before its insurance policy’s expiration, cancellation, termination, or non-renewal, Design-Builder shall deliver to City evidence of the required coverage as proof that Design-Builder’s insurance policy has been renewed or replaced with another insurance policy which, during the duration of the Contract, meets all of these insurance requirements.

N. At any time, upon City’s request, Design-Builder shall furnish satisfactory proof of each type of insurance coverage required—including a certified copy of the insurance policy or policies; certificates, endorsements, renewals, or replacements; and documents comprising Design-Builder’s self-insurance program—all in a form and content acceptable to the City Attorney or City’s Risk Manager.
O. If Design-Builder hires, employs, or uses one or more Subcontractor(s) to perform work, services, operations, or activities on Design-Builder’s behalf, Design-Builder shall:

1. Ensure and verify that the Subcontractor meets, and fully complies with, these insurance requirements. Design-Builder shall monitor and review all such coverage and assumes all responsibility for ensuring that all required coverage is provided; and

2. Furnish City at any time upon its request, with a complete copy of the Subcontractor's insurance policy or policies for City's review, or approval, or both. Failure of City to request copies of the documents does not impose any liability on City, or its employees.

P. Design-Builder shall provide immediate notice to City of any claim or loss against Design-Builder that includes City or any other indemnitee as a defendant. City assumes no obligation or liability by such notice, but has the right (but not the duty) to monitor the handling of any such claim or claims if they are likely to involve City.

Q. Design-Builder's failure to comply with an insurance provision constitutes a material breach upon which City may immediately terminate or suspend Design-Builder's performance of the Contract, or invoke another remedy that the Contract or the law allows. At its discretion and without waiving any other rights it may have pursuant to law, City has the right but not the duty to obtain or renew the insurance and pay all or part of the premiums. Upon demand, Design-Builder shall repay City for all sums or monies that City paid to obtain, renew, or reinstate the insurance, or City may offset the cost of the premium against any sums or monies that City may owe Design-Builder.

3.0 DESIGN-BUILDER'S SUBMITTAL OF CERTIFICATES AND ENDORSEMENTS

A. Design-Builder shall have its insurance carrier(s) or self-insurance administrator(s) complete and execute the following insurance documents and shall deliver the documents at the same time Design-Builder delivers the Contract to City. City will neither sign the Contract nor issue a “Notice to Proceed” until the City Attorney or City's Risk Manager has reviewed and approved all insurance documents. City's decision as to the acceptability of all insurance documents is final. Sample insurance documents in the City's approved format are set forth in this Exhibit 2.

B. Required Submittals for Commercial General Liability and Business Automobile Insurance and Design-Builder’s Pollution Liability Insurance. The following submittals must be on forms satisfactory to the City Attorney or City’s Risk Manager, and signed by the insurance carrier or its authorized representative – which fully meet the requirements of, and contain provisions entirely consistent with, all of the insurance requirements set forth in this document:

1. “Certificate of Insurance”;

2. “Additional Insured Endorsement”; and

3. Subrogation Endorsement: “Waiver of Transfer to Rights of Recover Against Others.”

C. Both Certificates of Insurance and Additional Insured Endorsements must read as follows: “The City of Glendale, and its officers, agents, employees and representatives are included as additional insureds under the policy(s). This insurance is primary to all other insurance of the City. The City’s insurance and self-insurance will apply in excess of, and will not contribute with this
insurance. This insurance applies separately to each insured or additional insured who is seeking coverage, or against whom a claim is made or a suit is brought. The issuing company shall mail thirty (30) days advance notice to the City for any policy cancellation, termination, non-renewal, or reduction in coverage."

D. Required Submittals for Workers’ Compensation Insurance. Design-Builder shall provide City with a certificate of insurance and a subrogation endorsement on forms satisfactory to the City Attorney or City’s Risk Manager, and signed by the insurance carrier or its authorized representative – which fully meet the requirements of, and contain provisions entirely consistent with, the workers compensation insurance requirements. If Design-Builder is self-insured for workers’ compensation, a copy of the “Certificate of Consent to Self-insure” from the State of California is required; or if Design-Builder is lawfully exempt from workers’ compensation laws, an “Affirmation of Exemption from Labor Code § 3700” form is required.

E. Required Evidence of Builder’s Risk Coverage. City will provide a certificate of insurance and a declarations page on a form satisfactory to the City Attorney or City’s Risk Manager, and signed by the insurance carrier or its authorized representative. The policy terms must fully meet the requirements of, and contain provisions entirely consistent with, all of the insurance requirements set forth herein. The City shall be named as a loss payee on the insurance policy for the full replacement value of all buildings, structures, fixtures and materials to be constructed, maintained, repaired or supplied pursuant to this Contract.

F. Please comply with the following Sample Insurance Documents.
SAMPLE INSURANCE CERTIFICATE

CERTIFICATE OF LIABILITY INSURANCE

PRODUCER

INSCRIBER A:
INSCRIBER B:
INSCRIBER C:
INSCRIBER D:
INSCRIBER E:

INSURED

INSCRIBER AFFORDING COVERAGE

NAIC #

COVERAGE

THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. AGGREGATE LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

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<th>TYPE OF INSURANCE</th>
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<td>AUTOMOBILE LIABILITY</td>
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<td>E.L. DISEASE - POLICY LIMIT $</td>
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DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES / EXCLUSIONS ADDED BY ENDORSEMENT / SPECIAL PROVISIONS

By the attached Endorsement(s): The City of Glendale, and its officers, agents, employees, and representatives are included as additional insureds under the policy(s).
This insurance is primary to all other insurance of the City. The City’s insurance, or self-insurance, or both, will apply in excess of and will not contribute with this insurance. This insurance applies separately to each insured or additional insured who is seeking coverage, or against whom a claim is made or a suit is brought. The issuing company shall mail thirty (30) days advance notice to the City for any policy cancellation, termination, non-renewal, or reduction in coverage.

CERTIFICATE HOLDER

City of Glendale
Public Works Department / Engineering Division
633 East Broadway, Room 265
Glendale, California 91205-4108

RE: CITY SPECIFICATION NO:
CITY PROJECT NAME:
CITY PROJECT MANAGER:

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