

Request for Qualifications (RFQ)  
for  
Humboldt Transit Authority's

Hydrogen Refueling Station Project 23-01

FOR DESIGN-BUILD ENTITIES TO DESIGN AND  
BUILD A HYDROGEN REFUELING STATION

Statement of Qualifications (SOQ)

DB ENTITY: \_\_\_\_\_

DATE: \_\_\_\_\_

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

## PART I: CERTIFICATION

Statement of Qualifications submitted by corporations must be signed with the legal name of the corporation, followed by the name of the state of incorporation and by the signature and designation of the chairman of the board, president or any vice president, and then followed by a second signature by the secretary, assistant secretary, the chief financial officer or assistant treasurer. All persons signing must be authorized to bind the corporation in the matter. The name of each person signing shall also be typed or printed below the signature. Satisfactory evidence of the authority of each officer signing on behalf of a corporation shall be furnished.

Statement of Qualifications submitted by partnerships must furnish the full name of all partners and must be signed in the partnership name by a general partner with authority to bind the partnership in such matters, followed by the signature and designation of the person signing. The name of the person signing shall also be typed or printed below the signature.

### **Each person signing below makes the following representations under penalty of perjury:**

The submitter of the foregoing answers to the Statement of Qualifications has read the same and the matters stated therein are true to the best of his or her own personal knowledge. This information is provided for the purpose of qualifying to bid on the PROJECT, and any individual, company or other agency named herein is hereby authorized to supply the awarding body with any information necessary to verify the prospective bidder's statements. By signing below, the submitter and the named contractor hereby grant permission to the Humboldt Transit Authority to contact any or all of the above listed persons or entities to confirm facts or otherwise investigate the above facts and issues.

The submitter understands that any statement which is proven to be false shall be grounds for immediate disqualification from bidding on the PROJECT. The submitter whose signature appears below represents and warrants that he or she has authority to bind the named contractor.

I, \_\_\_\_\_ (Name), the undersigned, am the \_\_\_\_\_ (Title), with the authority to act for and on behalf of \_\_\_\_\_ (DB Entity Name), declare under penalty of perjury under the laws of the State of California that the foregoing information provided in this Statement of Qualification is true, full, and correct.

I understand that making a false statement may result in disqualification from bidding on any public works project, registering as a Public Works Contractor with the Department of Industrial Relations, and may be grounds for termination of a public works contract.

Executed on this: \_\_\_\_\_ day of \_\_\_\_\_ at \_\_\_\_\_.  
(Date) (Month / Year) (City / State)

By: \_\_\_\_\_

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

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

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

## PART II: DB ENTITY INFORMATION

### A. Contact Information

1. Legal Name of DB Entity: \_\_\_\_\_
2. Contact information: \_\_\_\_\_
  - a. Contact Person and Title: \_\_\_\_\_
  - b. Address: \_\_\_\_\_
  - c. Phone: \_\_\_\_\_
  - d. Email: \_\_\_\_\_

### B. Design-Build Team Member Names

1. Principal Engineering Firm:  
\_\_\_\_\_  
\_\_\_\_\_
2. Other Professional Engineering Firm(s), if any (explain DB Team involvement):  
\_\_\_\_\_  
\_\_\_\_\_
3. Additional Design Firm(s), if any (explain DB Team involvement):  
\_\_\_\_\_  
\_\_\_\_\_
4. General Contractor(s):  
\_\_\_\_\_  
\_\_\_\_\_

## PART III: ORGANIZATIONAL INFORMATION AND DOCUMENTS

This PART III seeks information about the various members of the DB Entity, and are for identification purposes only. There is no evaluation scoring for these parts. However, AGENCY may request additional information be submitted to verify the accuracy of the responses provided.

Failure to include PART III will disqualify the Respondent's Qualifications Package.

### A. For the DB Entity

Based on the legal organization of the Design-Build Entity stated above:

1. Provide a copy of the organizational documents or agreement committing to form the DB Entity
2. State the date of incorporation of, formation of, or agreement to form the DB Entity: \_\_\_\_\_
3. Under what state is the DB-Entity organized: \_\_\_\_\_
4. Legal Organization of DB Entity (check one)
  - Corporation** - Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten percent of the corporation's stock

Name	Position	Years with Firm	% Ownership

- Sole Proprietorship** – Complete the following

Owner	Years as Owner

- Joint Venture, Partnership or other legal entity** – Provide the following information for each member of the joint venture, each partner or each other legal entity member. (attach additional pages if necessary). On a separate sheet, provide all other pertinent information required in the sections above for each Corporation, LLC, Partnership, or Sole-Proprietorship that is a part of the Joint Venture.

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

5. 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.

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

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

**B. For the Principal Engineering Firm**

1. General Information

- a. Name of Principal Engineering Firm: \_\_\_\_\_
- b. Name of Principal Engineer: \_\_\_\_\_
- c. License Number: \_\_\_\_\_
- d. Years in Practice: \_\_\_\_\_

2. Date incorporated and formed: \_\_\_\_\_

3. Organized under the laws of what state: \_\_\_\_\_

4. Legal Organization of Principal Engineering Firm (check one)

**Corporation** - Provide all the following information for each person who is either (a) an officer of the corporation (president, vice president, secretary, treasurer), or (b) the owner of at least ten percent of the corporation's stock

Name	Position	Years with Firm	% Ownership

**Sole Proprietorship** – Complete the following

Owner	Years as Owner

**Joint Venture, Partnership or other legal entity** – Provide the following information for each member of the joint venture, each partner or each other legal entity member. (attach additional pages if necessary). On a separate sheet, provide all other pertinent information required in the

sections above for each Corporation, LLC, Partnership, or Sole-Proprietorship that is a part of the Joint Venture.

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

5. 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 this RFQ was issued?
  - Yes (explain on separate sheet)
  - No
  
6. State the Principal Engineering Firm's gross revenues for each of the following years:
  - a. Current Year: \$ \_\_\_\_\_
  - b. Prior Year: \$ \_\_\_\_\_
  - c. Year immediately prior to Prior Year: \$ \_\_\_\_\_
  
7. Have any corporate officers, partners or owners of the Principal Engineering Firm worked for any other engineering or architectural firm in the past five (5) years immediately before the date this RFQ was issued? **NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.**
  - Yes (explain on separate sheet)
  - No
  
8. Has the Principal Engineering Firm changed names in the past five (5) years (immediately before the date upon which this RFQ was issued)?
  - Yes (explain on separate sheet)
  - No
  
9. 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. **NOTE: For this question, "owner" and "partner" refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.**

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

10. Provide the following information for all known Engineers and Architects who will be designing the project: (attach additional pages if necessary).

Engineer / Architect	Discipline	License Number	Years in Practice

**C. For Other Design Firms, if any**

Provide design licensing information for each of the Other Design Firms identified above.

1. Name of Other Design Firm: \_\_\_\_\_
2. Element of Design to be Performed: \_\_\_\_\_
3. 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. **NOTE: For this question, "owner" and "partner" refer to ownership of ten percent or more of the business, or ten percent or more of its stock, if the business is a corporation.**

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

4. Provide the following information for all known Engineers and Architects who will be designing the project: (attach additional pages if necessary).

Engineer / Architect	Discipline	License Number	Years in Practice

#### D. For the General Contractor

1. General Information

a. Name of General Contractor: \_\_\_\_\_

b. California State Contractor's License Number: \_\_\_\_\_

2. Is the General Contractor the same as the Principal Engineering Firm?

Yes: proceed to Question No. 3, below

No: Answer all questions in Part III, B, substituting applicable information for the General Contractor in place of "Professional Engineering Firm." Then answer Question 3 below.

3. 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.

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



## PART IV: MINIMUM REQUIREMENTS FOR QUALIFICATION

PART IV seeks information about various members of the Design-Build Team, and consists of questions that must be answered correctly or the Respondent's Qualifications Package will be disqualified.

### A. Scored Questions for the DB Entity

1. Does the D-B Entity possess a valid and current California contractor's license and other professional license as required by law for this PROJECT?  
 Yes       No (DB Entity will be immediately disqualified)
2. Is your firm registered with the California Department of Industrial Relations (DIR) as a Public Works Contractor for the current fiscal year?  
 Yes       No (DB Entity will be immediately disqualified)
3. Does your firm have a professional liability insurance policy with a policy limit of at least \$1,000,000 per occurrence and \$2,000,000 aggregate?  
 Yes       No (DB Entity will be immediately disqualified)
4. For construction purposes, does your firm have a liability insurance policy with a policy limit of at least \$10,000,000 per occurrence for bodily injury, personal injury and property damage? If Commercial General Liability Insurance or other form with a general aggregate limit is used, either the general aggregate limit shall apply separately to this PROJECT/location or the general aggregate limit shall be twice the required occurrence limit.  
 Yes       No (DB Entity will be immediately disqualified)
5. Does your firm have automobile liability insurance with a \$5,000,000 combined single limit per accident for bodily injury and property damage?  
 Yes       No (DB Entity will be immediately disqualified)
6. Does your firm have current workers' compensation insurance policy as required by the Labor Code or is your firm legally self-insured pursuant to Labor Code section 3700 et. seq.?  
 Yes       No (DB Entity will be immediately disqualified)
7. Have you attached your firm's latest copy of reviewed or audited financial statements with accompanying notes and supplemental information? NOTE: Financial statements that are not either reviewed or audited are not acceptable. A letter verifying availability of a line of credit

may also be attached; however, it will be considered as supplemental information only, and is not a substitute for the required financial statements.

Yes       No (DB Entity will be immediately disqualified)

8. Have you attached a notarized statement from an admitted surety insurer (approved by the California Department of Insurance) authorized to issue bonds in the State of California, which states that: (a) your current bonding capacity is sufficient for the project for which you seek pre-qualification if you are seeking pre-qualification for a single project; or valid for a year if you are seeking pre-qualification valid for a year; and (b) your current available bonding capacity? NOTE: Notarized statement must be from the surety company, not an agent or broker.

Yes       No (DB Entity will be immediately disqualified)

9. Has your contractor's or other professional license been revoked at any time in the last five years?

Yes (DB Entity will be immediately disqualified)       No

10. Has a surety firm completed a contract on your behalf, or paid for completion because your firm was in default and/or terminated by the project owner within the last five years?

Yes (DB Entity will be immediately disqualified)       No

11. Is your firm, any of its officers, supervisors, managers, or any firm or individual identified above in PART III, ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to Labor Code section 1777.1, Labor Code section 1777.7, or any other federal, state, county, municipal or other local law providing for the debarment of contractors from public works?

Yes (DB Entity will be immediately disqualified)       No

12. Has your firm, any of its officers, supervisors, managers, or any firm or individual identified above in PART III been convicted of a crime involving the awarding of a contract of a government construction project, the bidding or performance of a government contract, antitrust statutes, racketeering statutes, safety and health regulations, environmental laws, laws banning workplace discrimination, laws governing wages, hours or labor standards, or laws involving fraud, theft, or any other act of dishonesty?

Yes (DB Entity will be immediately disqualified)       No

13. Is your firm currently the debtor in a bankruptcy case? (If yes, attach a copy of the bankruptcy petition showing the case number and date on which the petition was filed.)

Yes (DB Entity will be immediately disqualified)       No

14. Has your firm, any of its officers, supervisors, managers, or any firm or individual identified above in PART III ever been terminated from a public works contract, including but not limited to termination based on any misconduct, such as failure to comply with contractual, statutory, or other legal obligations from any public construction project?

Yes (DB Entity will be immediately disqualified)       No

15. Does your firm, any of its officers, supervisors, managers, or any firm or individual identified above in PART III currently have any delinquent liability to an employee, the state, or any awarding body for any assessment of back wages or related damages, interest, fines or penalties pursuant to any final judgment, order, or determination by any court or any federal, state, or local administrative agency, including a confirmed arbitration award?

Yes (DB Entity will be immediately disqualified)       No

### B. Scored Questions for the Principal Engineering Firm

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

**Note: Failure to provide an explanation for "yes" answer to Questions B.4, B.5, and B.6 may result in immediate DB Entity disqualification.**

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

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

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

10+ years     8-9 years     6-7 years     5 years or less

2. Is the Principal Engineering 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.

3. Was the Principal Engineering Firm in bankruptcy at any time during the last five (5) years (immediately before the issuance of this RFQ)? Note: This question refers only to a bankruptcy action that was not described in answer to Question 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.

4. In the last five (5) years (immediately before the issuance of this RFQ) has the Principal Engineer or the Principal Engineering 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.

5. In the past five (5) years (immediately before the issuance of this RFQ) has any claim, dispute or lawsuit in excess of \$50,000 been **filed in court or arbitration against** the Principal Engineer or the Principal Engineering 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).

6. In the past five (5) years (immediately before the issuance of this RFQ) has the Principal Engineer or the Principal Engineering 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).

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 Principal Engineering 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.

8. Within the last five (5) years (immediately before the issuance of this RFQ) has there ever been a period when the Principal Engineering 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.

9. Has the Principal Engineer or the Principal Engineering 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.

10. Has the Principal Engineer or the Principal Engineering 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.

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

Yes       No

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

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.

### C. Scored Questions for the General Contractor

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

**Note: Failure to provide an explanation for "yes" answer to Questions C.2 through C.14 may result in immediate DB Entity disqualification.**

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

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

10+ years    8-9 years    6-7 years    5 years or less

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

Yes    No

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

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

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.

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

Yes    No

If "yes," explain on a separate page.

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

Yes       No

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

**NOTE: The following two questions C.7 and C.8 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.**

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).

8. In the past five (5) years (immediately before the issuance of this RFQ) has the General Contractor made any claim, dispute or lawsuit in excess of \$50,000 against a project owner



concerning work on a project or payment for a contract and **filed that claim in court or arbitration?**

Yes       No

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

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 public agency projects?

No       Yes, one       Yes, two or more

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.

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.

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

Yes       No

If yes, provide details on a separate 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.

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.

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.

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

Yes       No

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

15. Has CAL OSHA or any other state OSHA agency cited and assessed penalties against the General Contractor for any "serious," "willful" or "repeat" violations of its safety or health regulations in the past five (5) years? **NOTE: If General Contractor has filed an appeal of a citation, and the**

**state's Occupational Safety and Health Appeals Board has not yet ruled on the appeal, General Contractor need not include information about it.**

Yes       No

If "yes," attached a separate page describing all citations, including information about the dates of the citations, the nature of the violation, the project on which the citation(s) was or were issued, and the amount of penalty paid, if any. If any citation was appealed to the Occupational Safety and Health Appeals Board and a decision has been issued, state the case number and the date of the decision. Note, "serious," "willful" or "repeat" violations may deem a DB Entity disqualified.

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

Yes       No

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

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

Yes       No

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

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 per week    Yes, every two weeks    Yes, less than every two weeks

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

Yes       No

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

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       Yes, two or more penalties

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.

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

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

- 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.

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

Yes       No

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

Date of Findings: \_\_\_\_\_

## PART V: DB ENTITY AND DB TEAM EXPERIENCE

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

Definitions:

- "Completed project" as used in this Part V means:
  - For the General Contractor, the project has passed the commissioning functional tests for all facility system components.
  - For the Principal Engineering Firm and Other Design Firms, the project design work is complete and construction is in progress or completed.
- "Project value" represents the individual project cost, inclusive of design and construction, but does not represent entire facility construction values.

### A. General Contractor and Principal Engineering Firm Construction and Design Experience

The DB Entity shall identify at least three (3) completed projects by the General Contractor and the Principal Engineering Firm in the format prescribed by the Project Data Sheets, provided immediately following this part.

- At least two (2) of those projects must be attributed to the Principal Engineering Firm of the DB Team.
- At least two (2) of those projects must be attributed to the General Contractor of the DB Team.

Each of the projects must:

- Have been completed in the past 15 years (immediately before the issuance of this RFQ) and demonstrate the DB Entity's experience with design and construction, and experience in obtaining permits and approvals;
- Be over \$5 million in the initial design and construction project value; and
- Identify how the DB Entity held a prime role as the General Contractor, the Principal Engineering Firm, or both.

These reference projects shall demonstrate expert knowledge similar to the requirements for the PROJECT. **Direct design and construction experience is highly desirable.** The reference projects should indicate the extent of work that was self-performed, and the nature of the work that was self-performed. In addition, reference projects should describe the work that was subcontracted. In the reference projects, the DB Entity must demonstrate qualifications and experience relevant to the development and implementation of the PROJECT. If applicable, the DB Entity may provide descriptions of relevant experience related to other types of projects related to the PROJECT.

Each project should indicate the involvement and responsibilities of the key personnel of the DB Entity, highlighting project experience where the key personnel of the DB Entity have previously worked together. The Project Data Sheets require a description of the specific roles in these projects of the following key personnel: program/project manager, on-site project manager, superintendent (if different from above), construction manager, and design manager. HTA's assessment of project experience will also include, but is not limited to, reference checks from owners. Names and references must be current and verifiable.

Projects will be reviewed in the order presented (i.e. any project beyond the eighth will not be read nor considered).

## B. Other Design Firms

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

The DB Entity shall identify at least one (1) and no more than three (3) completed design projects for each of the Other Design Firms, in the format prescribed by the Project Data Sheets, provided immediately following this part. These reference projects shall demonstrate design experience applicable to the requirements for this PROJECT. **Direct design experience is highly desirable.** If applicable, the DB Entity may provide descriptions of relevant design experience of these design firms related to other types of projects related to the PROJECT.

Each of the design efforts must have been completed in the past 15 years (immediately before the issuance of this RFQ).

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

Projects will be reviewed in the order presented (i.e. any project beyond the eighth will not be read nor considered).

**PROJECT DATA SHEET # \_\_\_\_\_**

(One data sheet per project; number each sheet)

Name of Design-Build Team Member: \_\_\_\_\_

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

<b>Project Name:</b> _____	
<b>Project Location:</b> _____	
<b>Description of Project</b>	Provide narrative to describe objective of the project and project size.
<b>Relevancy to this PROJECT</b>	Describe how the project is applicable and relevant to the PROJECT.
<b>Responsible Firm and Role</b>	Name of firm 1: Role Name of firm 2: Role
<b>Project Manager</b>	Name of program or overall project manager
<b>On-Site Project Manager</b>	Name of on-site project manager
<b>Project Superintendent</b>	Name of project superintendent
<b>Delivery Method</b>	List project delivery method such as design-build, design-bid-build, design-bid-operate, etc.
<b>Scope of Services</b>	Describe scope of services relative to all phases of project delivery
<b>Original Contract \$</b>	Contract value at time of award
<b>Final Contract \$</b>	Provide final contract value; briefly explain in one sentence if final contract value varies from original contract value, and provide additional information below.
<b>Original Schedule Completion</b>	Provide scheduled completion date at time of award
<b>Actual Schedule Completion</b>	Provide current status of project (in design, in construction, completed, completed and operating). Provide actual or projected completion date; briefly explain in once sentence if actual or projected completion date differs from original scheduled completion date and provide additional information below.
<b>Owner Reference</b>	Provide owner contact name(s), agency, address, phone number, and e-mail address. The owner contact is the project manager or other person who you believe is best qualified to answer interview questions.



**Description of Project**

Provide narrative to describe objective of the project and project size.

**Relevancy to the PROJECT**

Describe how the project is applicable and relevant to the PROJECT.

**Responsible Firms Role**

Describe specific role of responsible firms in the design 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 cause such as owner added scope, unforeseen conditions, design related issues, or other circumstances (describe).

**Contract Schedule**

Explain the project schedule and schedule challenges. Explain reason for actual or projected completion date that differs from original scheduled completion date including approved time extensions. For completed projects, provide following information with blanks filled in:

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

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

**Claims and Liquidated Damages**

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

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

For this project, describe the extent of self-performance by the General Contractor, and include a description of the work that was self-performed. In addition, describe participation by members of the DB Team's key personnel and respective role(s), specifically the program/project manager, on-site project manager, superintendent, construction manager, and design manager.

**Permitting and Compliance**

For this project, 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 ingenuity and innovation employed.

## PART VI: KEY PERSONNEL EXPERIENCE

### A. Key Personnel Matrix

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

- Name of the individual and name of firm
- Include the number of years of professional experience, refueling station experience (not limited to hydrogen), design-build experience, and
- Role and responsibilities for the PROJECT.

Name of Key Personnel / Name of Firm	Number of Years of Project Experience			Roles and Responsibilities
	Professional	Refueling Station	Design-Build	

### B. Resumes and Key Personnel Project Data Sheets

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

- Program/Project Manager
- On-site Project Manager
- Project Superintendent
- Construction Manager
- Engineer of Record
- Design Manager
- Electrical Engineer
- Mechanical Engineer

The DB Entity’s proposed Project Manager and Project Superintendent for the Project shall each have ten (10) years of professional experience and worked on a minimum of two (2) projects that are closely related or comparable to this PROJECT, and in the same role as proposed for this PROJECT. In addition to the resumes required above, provide three (3) Key Personnel Project Data Sheets each for the DB Entity’s proposed Project Manager and Project Superintendent, within the format prescribed by the attached Key Personnel Project Data Sheets. Also provide one (1) Key Personnel Project Data Sheet each for all other remaining Key Personnel. Failure to meet the above minimum requirements for Key Personnel experience will deem the DB Entity as disqualified.

If the proposed Project Manager and/or Project Superintendent are the same as those listed in the Project Data Sheets submitted under PART V: DB ENTITY AND DB TEAM EXPERIENCE, then simply check the appropriate box on the Key Personnel Project Data Sheet that will identify the Project Data Sheet number. No further information will need to be submitted to score the proposed Project Manager and Project Superintendent. Only complete the Key Personnel Project Data Sheet if the proposed Project Manager and Project Superintendent are different than those projects submitted in PART V. HTA's assessment of Key Personnel's project experience will also include, but is not limited to, reference checks from owners. Names and references must be current and verifiable.

### C. Proposed Team Intact

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

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

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

(3 each for Project Manager and Project Superintendent, 1 each for all others; number each sheet)

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

Title/Role: \_\_\_\_\_

Select one (1):

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

<b>Project Name:</b> _____	
<b>Project Location:</b> _____	
<b>Description of Project</b>	Provide narrative to describe objective of the project and project size.
<b>Relevancy to this PROJECT</b>	Describe how the project is applicable and relevant to the PROJECT.
<b>Responsible Firm and Role</b>	Name of firm 1: Role Name of firm 2: Role
<b>Project Manager</b>	Name of program or overall project manager
<b>On-Site Project Manager</b>	Name of on-site project manager
<b>Project Superintendent</b>	Name of project superintendent
<b>Delivery Method</b>	List project delivery method such as design-build, design-bid-build, design-bid-operate, etc.
<b>Scope of Services</b>	Describe scope of services relative to all phases of project delivery
<b>Original Contract \$</b>	Contract value at time of award
<b>Final Contract \$</b>	Provide final contract value; briefly explain in one sentence if final contract value varies from original contract value, and provide additional information below.
<b>Original Schedule Completion</b>	Provide scheduled completion date at time of award
<b>Actual Schedule Completion</b>	Provide current status of project (in design, in construction, completed, completed and operating). Provide actual or projected completion date; briefly explain in one sentence if actual or projected completion date differs from original scheduled completion date and provide additional information below.
<b>Owner Reference</b>	Provide owner contact name(s), agency, address, phone number, and e-mail address. The owner contact is the project manager or other person who you believe is best qualified to answer interview questions.

## PART VII: FINANCIAL

### A. Financial Information

DB Entity shall provide and attach the following in a sealed envelope attached only to the Original Respondent's Qualifications Package:

- A copy of the DB Entity's Dunn and Bradstreet Report.
- A copy of the DB Entity's most recent financial statements including the balance sheet, statement of cash flows, and notes to the financial statements.

In the event that the DB Entity is a partnership or joint venture (whether formed or intended to be formed), all general partners or members shall provide the above financial information. **The financial information shall also be provided for the project guarantor, if a Guarantor is needed (see below).** The financial information must be for the company(s) that make up the DB Entity, not the parent company, unless the parent company is acting as the Guarantor.

Fill in the information below for the three most recent fiscal years. In the event that the DB Entity is a partnership or joint venture (whether formed or intended to be formed), all general partners or members shall provide the information below:

Current Assets: \$ \_\_\_\_\_

Current Liabilities: \$ \_\_\_\_\_

Total Net Worth: \$ \_\_\_\_\_

Current Ratio (Assets/Liabilities): \_\_\_\_\_

Working Capital (Current Assets - Current Liabilities): \$ \_\_\_\_\_

### B. Guarantor

The obligations under the DB Agreement shall be irrevocably, absolutely and unconditionally guaranteed by an entity with a net worth of at least 20 million dollars. If the DB Entity (or, collectively, general partners or members, as applicable) does not have such financial qualifications, a Project Guarantor will be required. If such a Guarantor is needed, a single Guarantor shall sign a Guaranty Agreement (to be developed) which will make them responsible for the DB Entity's performance under the DB Contract. If applicable, the Guarantor shall be identified in the Project Guarantor Acknowledgement Form and provide the same financial information required in Section VII.A above.

## PROJECT GUARANTOR ACKNOWLEDGEMENT FORM

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

Humboldt Transit Authority  
133 V Street, Eureka, CA 95501  
Attn: <enter name of Procurement Coordinator>

SUBJECT: Hydrogen Refueling Station Project 23-01 – Guarantor Acknowledgement

Dear <enter name of Procurement Coordinator>:

\_\_\_\_\_ (“the Respondent”) has submitted herewith a Statement of Qualifications in response to the Request for Qualifications (RFQ) for Humboldt Transit Authority’s Hydrogen Refueling Station Project 23-01 for Design-Build Entities to Design and Build a Hydrogen Refueling Station (“PROJECT”) issued by HTA on September 11, 2023, pursuant to which it is seeking to be qualified by HTA to deliver the PROJECT described in the RFQ.

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

\_\_\_\_\_  
Name of Guarantor

\_\_\_\_\_  
Name of Authorized Signatory

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title