

**REQUEST FOR STATEMENT OF QUALIFICATIONS &  
LETTER OF INTEREST  
FOR  
PREQUALIFYING CONSTRUCTION COMPANIES  
FOR  
STICKNEY WATER TREATMENT PLANT (WTP) FILTER AND  
SCADA UPGRADES  
PROJECT NUMBER: 10391316**

**FOR**

**BOARD OF WATER AND SEWER COMMISSIONERS OF THE  
CITY OF MOBILE, AL  
D/B/A MAWSS**

ATTN: Mr. Doug Cote  
Director of Plant Operations  
4725 Moffett Road, Suite A  
Mobile, AL 36618-0249

**ADVERTISEMENT FOR PREQUALIFICATION OF CONTRACTORS  
AND FOR BIDS FROM BIDDERS WHO ARE PREQUALIFIED**

**Prequalification Proposals (Letters of Interest (LOI) and Statements of Qualifications (SOQ))** from General Contractors (Construction Service Firms) shall be submitted and will be received by the Board of Water and Sewer Commissioners of the City of Mobile, Alabama (“Board”), at the Wesley A. James Operations Center, 4725 Moffett Road, Suite A, Mobile, AL 36618-0249; UNTIL 2:00 PM, LOCAL TIME, January 16, 2026, for the following project: **Stickney Water Treatment Plant (WTP) Filter and SCADA Upgrades, Project No. 10391316** for consideration of approval to bid this project. Prequalified Bidders will be notified in writing on or about January 28, 2026. Preliminary Bid and Construction Documents will be made available for review on January 11, 2026, and final Bid Documents will be issued to pre-qualified bidders upon notification of qualification.

Prospective Bidders may obtain the prequalification documents on the Board of Water and Sewer Commissioners of the City of Mobile’s website ([www.mawss.com/bids/project-bids-announcements/](http://www.mawss.com/bids/project-bids-announcements/)) or by contacting Heath Hardy at HDR Engineering ([heath.hardy@hdrinc.com](mailto:heath.hardy@hdrinc.com)). Preliminary bid documents will be made available for review on January 11, 2026, and a digital copy may be requested.

As one of the conditions of submitting a SOQ, it must be understood that knowledge and experience is extremely important. Therefore, the construction firm will have to submit evidence and proof acceptable to the Board of their ability, knowledge, experience, training of supervisory personnel and labor, and will be required to submit evidence and proof that construction firm has performed work of a similar nature per the requirements of the prequalification package.

Qualifications of any sub-contractor(s) that are anticipated to be used to obtain prequalification status are to be included in the firm's statement of qualifications. Sub-contractors proposed for use, including qualification details for the relevant work they are to perform, shall be provided with the SOQ packages.

The Owner reserves the right to reject any or all proposals, to waive technical errors, and/or abandon this process if, in their judgment, the best interests of the Owner will thereby be promoted.

All General contractors seeking prequalification status are required to submit the prequalification documents enclosed and clearly marked on the outside of the package as follows: **“CONFIDENTIAL – STATEMENT OF QUALIFICATIONS – Stickney Water Treatment Plant (WTP) Filter and SCADA Upgrades,” Board of Water and Sewer Commissioners of the City of Mobile, Alabama, 4725 Moffett Road, Suite A, Mobile, AL 36618-0249.**

**Sealed bid proposals will be received only from Prequalified General Contractor Bidders** by the Board of Water and Sewer Commissioners of the City of Mobile, Alabama (“Board”), at the Wesley A. James Operations Center, 4725 Moffett Road, Suite A, Mobile, AL 36618-0249 until **12:00 p.m., Local Time, March 2, 2026**, and then publicly opened and read at **1:00 P.M.**, for furnishing all labor, materials, and performing all work for the following project: Contract No.: 10391316, Project Name: Stickney Water Treatment Plant (WTP) Filter and SCADA Upgrades.

Upon completion of prequalification process, Plans and Specifications may be inspected at the Board’s office at 4725 Moffett Road, Suite A, Mobile AL; or at the offices of HDR Engineering, Inc., 25 West Cedar Street, Suite 200, Pensacola, FL 32502. Questions regarding the Contract Documents must be submitted electronically to HDR (via [Heath.Hardy@hdrinc.com](mailto:Heath.Hardy@hdrinc.com)) no later than February 20, 2026.

Copies of the Plans, Specifications, and other Contract Documents may be obtained from Consulting Engineer, upon a non-refundable payment of \$20.00 for digital plans or \$150.00 for each printed set and provided a FedEx account number is provided for the shipping charges. Bid documents will be mailed upon receipt of deposit. No Contract Documents will be issued later than twenty-four (24) hours prior to bid submission time. Requests for plan should be directed to Heath Hardy, [heath.hardy@hdrinc.com](mailto:heath.hardy@hdrinc.com); 850-429-8900.

A **mandatory** Pre-Bid Conference will be held at the MAWSS Wesley A. James Operations Center Board Room, 4725 Moffett Road, Mobile, AL 36618 on **February 11, 2026, at 9:00 A.M.**, Local Time, to discuss bidding and project requirements. Prospective bidders and subcontractors should attend. Attendees representing the prospective contractor must be an employee of the company with experience in bidding jobs.

The project is funded by the Alabama Department of Environmental Management State Revolving Fund (SRF) Loan Program. The selected bidder shall comply with all conditions and requirements of the program as they pertain to this Project, and must provide DBE documentation no later than 10 days after notice of selection.

Bids must be submitted on the standard forms included with the Contract Documents. The following contract bid documents, Bid Proposal, Bid Bond, Subcontracting Plan, SSO and Unpermitted Discharge Prevention notification, and Addendum Acknowledgment Form shall be printed on yellow color paper and tabbed. The Contractor shall be responsible for preparing its bid package in accordance with this guideline.

Envelopes containing bids must be sealed and delivered to the Board of Water and Sewer Commissioners of the City of Mobile, Alabama, 4725A Moffett Road, Mobile, Alabama 36618-0249: "Bid for constructing Project No. 10391316, Stickney Water Treatment Plant (WTP) Filter and SCADA Upgrade, to be opened at 1:00 p.m., Local Time, March 2, 2026". The Bidder's Alabama State Contractor's License Number and discipline shall be on the envelope.

Bid guarantee in the form of certified check, bid bond, or Irrevocable Letter of Credit acceptable to the Board will be required for at least 5% of the bid amount, **not to exceed \$10,000**.

The Board reserves the right to reject any and all bids and to waive any informality in bids received.

**THIS INVITATION FOR BIDS IS CONDENSED FOR ADVERTISING PURPOSES. ADDITIONAL INFORMATION/REQUIREMENTS FOR BIDDERS CAN BE FOUND IN THE CONTRACT DOCUMENTS.**

THE BOARD OF WATER AND SEWER COMMISSIONERS  
OF THE CITY OF MOBILE, ALABAMA



Project: Stickney WTP Filter and SCADA Upgrades

**The bid process will follow this sequence:**

1. Public Advertisement / Request for Qualifications
2. Preliminary Contract Documents Issued for Review
3. Review and Evaluate Qualification Submittal Packages
4. Contractor Prequalification Status Notification
5. Final Bid Documents Issued
6. Mandatory Pre-Bid Conference
7. Issuance of Addenda
8. Bid Opening
9. Bid Evaluation and Recommendation of Award
10. Owner Authorization of Award
11. Award Issuance
12. Contract Execution and Notice to Proceed

# SUBMITTAL INSTRUCTIONS

## SUBMITTAL INFORMATION

Statements of Qualifications (SOQ) packages from General Contractors shall be submitted and will be received at the Wesley A. James Operations Center, 4725 Moffett Road, Suite A, Mobile, AL 36618-0249; UNTIL 2:00 PM, LOCAL TIME, January 16, 2026. Preliminary Bid and Construction Documents will be made available for review on January 11, 2026, and final Bid Documents will be issued to pre-qualified bidders upon notification of qualification.

## PURPOSE

This process is used by the Owner and Engineer to determine whether contractors are qualified, capable, and adequately resourced to perform the work according to schedule and specifications.

Prospective Bidders are required to comply with these Requirements for Prequalification. Only prequalified contractors the Owner deems to be qualified and capable of completing the Project on schedule in conformance with the Contract Documents will be prequalified, and allowed to submit a bid on the project.

## PREQUALIFICATION

Prequalification of Prospective Bidders/General Contractors will be determined by the application of a pre-established pass/fail rating system based on the following information to be submitted by prospective Bidders.

- |                                      |                                   |
|--------------------------------------|-----------------------------------|
| 1. Statement of Financial Conditions | 5. Completion of Work by Surety   |
| 2. Construction Experience           | 6. Bonding Capacity               |
| 3. Organization/Functions            | 7. Minimum Insurance Requirements |
| 4. Licensing                         | 8. Statement of Experience        |

Bidders/General Contractors will be deemed unqualified and excluded from submitting bids due to any of the following:

1. Not having the correct license(s) (or inability to obtain the correct license(s)).
2. Had work completed by a surety within the last 5 years
3. Fail to meet bonding or insurance requirements
4. Inability to obtain minimum insurance requirements.
5. Having violations with the Department of Labor Standards Enforcement.
6. Lack of a qualified Project Manager and/or Field Superintendent experienced with similar projects.
7. Do not meet the project experience thresholds

The evaluation is solely for the purpose of determining which Bidders are deemed qualified for successful performance of the type of work included in this project in a timely manner. This evaluation also identifies a pre-qualified list of Bidders to which the Owner will accept formal Bids. The contract will be awarded to the lowest responsible Bidder, who was pre-qualified for this Bid, submitting a responsive Bid for this work.

A committee consisting of members of Owner's staff and the Engineer will evaluate the completed Questionnaires. The Engineer will make a recommendation to the Owner to the identification of qualified Bidders in accordance with the following timetable. Written notification of qualified contractors will be sent

to each Bidder (via email to the contact provided when submitting the prequalification documents).

#### TENTATIVE PROJECT SCHEDULE (Subject to Change)

- Advertisement: **December 14, 2025**
- Preliminary Bid Documents Available: **January 11, 2026**
- Qualification Deadline: **January 16, 2026**
- Prequalification Notice and Final Bid Documents Issued: **January 28, 2026**
- Mandatory Pre-Bid Meeting: **February 11, 2026**
- Final Addendum: **February 20, 2026**
- Bid Opening: **March 2, 2026**

#### PROJECT BIDDING INFORMATION

The criteria which will be used to determine the lowest responsive, responsible Prequalified Bidder are as follows:

- A. Responsive Bidder – A bidder who submits a complete, compliant bid package.
- B. Responsible Bidder – A bidder with adequate financial, staffing, equipment, and performance history, along with a record of integrity and reliability.

#### NOTIFICATIONS

The Owner reserves the right to reject any or all responses to prequalification questionnaires and any or all Bids and to waive any irregularities in any response of Bids received.

Contractors desiring to be prequalified are hereby informed that they will be subject to and must fully comply with all of the requirements of the Bidding Documents.

All information submitted for prequalification evaluation will be considered official information acquired in confidence and the Owner and Engineer will maintain its confidentiality to the extents permitted by law.

#### DEFINITIONS

- A. Statement of Financial Conditions: The requirement for submitting a financial statement as an attachment to "Contractor's Qualification Statement" shall be understood to mean a certified annual audit, prepared according to generally acceptable accounting practices and signed by an independent certified public accountant. A Reviewed Statement of Assets and Liabilities, prepared and signed by an independent certified public accountant, is also acceptable. A self-prepared annual compiled financial statement or balance sheet is unacceptable.
- B. Key Personnel: Defined as individuals who will be directly assigned to this project. Includes, but is not limited to, the Owner, the Principals of the Bidder, the Project Manager, the Project Superintendent, and Supervisory personnel such as the Foremen who will be directly assigned to this project. Resumes of Key Personnel must be submitted and accepted by the Owner in order for Bidder to receive the Award.
- C. Successful Completion: Defined as completion of a project within a reasonable time and budget.
- D. The term "Owner" means Mobile Area Water and Sewer System.

## PROJECT OVERVIEW

The project is to construct various improvements and updates to the E.M. Stickney Water Treatment Plant (WTP). The Project includes but is not limited to the following:

- Replacement of existing filter basin equipment, underdrains, media, piping, and valves for Filter Basins 1 through 10;
- Replacement of existing piping, valves and actuators within the east and west pipe galleries;
- Replacement of the east and west backwash pumps and appurtenances;
- Renovation and conversion of the existing conference room within the Operations Building into a new IDF Room;
- Renovation of instrument air building and replacement of equipment;
- Construction of a new filter controls building;
- Improvements to the existing SCADA control system for the entire Stickney WTP;
- Other miscellaneous site improvements outlined in the contract documents.

# PREQUALIFICATION QUESTIONNAIRE

Mobile Area Water and Sewer Service

Stickney Water Treatment Plant (WTP) Filter and SCADA  
Upgrades

## GENERAL CONTRACTOR

### AFFIDAVIT

The Undersigned declares under penalty of perjury that all of the prequalification information submitted with this form is true and correct and that this Declaration was executed in \_\_\_\_\_ County, \_\_\_\_\_ State on \_\_\_\_\_.

**For partnership only:  
List all General Partners**

\_\_\_\_\_  
(Signature and Title)

\_\_\_\_\_  
(Typed Name and Title)

\_\_\_\_\_  
(Firm Name)

\_\_\_\_\_  
(Address)

\_\_\_\_\_  
(City and State)

\_\_\_\_\_  
(Telephone Number)

\_\_\_\_\_  
(E-Mail)

All information submitted for prequalification evaluation will be considered official information acquired in confidence and the Engineer and Owner will maintain its confidentiality to the extent permitted by law. This includes the Contractor's Statement of Experience and Financial Condition to be submitted with this Questionnaire.

References contained in this Qualification Statement are an intricate part of Bidder's qualifications. References must be accurate. Bidder authorizes HDR Engineering (Engineer) to verify any and all information contained in the Qualification Statement from references contained herein and hereby releases all those concerned providing information as a reference from any liability in connection with any information they give.

## 1. License

Use Attachment 1, or similar document, answers and details pertaining to contractor license information. License must be on file with the State of Alabama Licensing Board for General Contractors.

## 2. Current Projects

Use Attachment 2, or similar document, provide information for current wastewater treatment plant (WWTP) and water treatment plant (WTP) projects under construction by your organization.

## 3. Construction Experience

Use Attachment 3, or similar document, provide information for relevant construction projects completed by your organization. Relevant projects shall include the following components and construction types to demonstrate qualifications:

- List all construction projects similar in scope and scale within the last 10 years;
- Demonstrate at least 10 years of experience working in WTP or WWTP facilities;
- Demonstrate successful completion of WTP/WWTP filter improvement and SCADA projects within the last 10 years;
- Demonstrate successful completion of at least three (3) improvement projects involving work at a water or wastewater treatment facility in the last five (5) years;
- Demonstrate the successful completion of projects requiring the removal and replacement of equipment and piping within highly constrained spaces having limited access. Photos of similar projects with constrained spaces can be provided for reference.
- Demonstrate successful completion or currently in construction of at least one (1) WWTP or WTP improvement project in excess of \$10,000,000 in the last five (5) years, and a cumulative completion of at least \$35,000,000 in the last ten (10) years. Project experience should be similar in scope and relevant to the Stickney WTP project.
- Demonstrate the ability to Phase the completion of the project in order to maintain the overall treatment functionality and ability of the facility to maintain operations;
- Demonstrated past experience in conducting SCADA improvements at a WTP or WWTP facility.
- Demonstrated the ability to minimize project change orders; and
- Demonstrated the ability to meet project timelines.

## 4. Personnel Experience/Management Plans

### Proposed Project Personnel:

Provide resumes for proposed key personnel to demonstrate qualifications, experience, length of employment with company, and training to competently manage this project. Key personnel shall include principal(s) or officer(s) having overall project management responsibility, as well as on-site project manager(s), superintendent(s), and all other key staff involved in the management of the project. Provide information requested in Attachment 4, or similar document, along with an overview of how your organization intends to structure on-site management operations and interface with the home office, Owner, specialty subcontractors, and Owner representatives during the construction of the project. In addition to the requirements listed in Attachment 4, demonstrate the following:

- At least 5 key personnel with 5+ years of relevant treatment plant experience;
- At least two (2) key personnel who have completed multiple WTP/WWTP projects while

- employed by the bidding company.
- Superintendent shall have at least ten (10) years of experience and shall have been superintendent on the construction of at least one water treatment plant requiring the construction of process systems, mechanical systems, buildings, etc., of similar size and capacity.
  - Certification that the key personnel listed will actually be utilize on the subject project.
  - Identification names of key staff with resumes provided for the Project Manager, Superintendent, QA/QC manager, safety manager.

Proposed Subcontractors:

Qualifications of any sub-contractor(s) that are anticipated to be used to obtain prequalification status are to be included in the firm's statement of qualifications. Sub-contractors proposed for use, including qualification details for the relevant work they are to perform, shall be provided with the SOQ packages.

Project Safety:

The Owner is committed to the safety of all persons involved with the WTP Improvements, Owner's Staff on-site, the surrounding community, visitors, and the environment. While the Owner has a responsibility of conducting business in a manner that strives to prevent accidents, the general contractor will have primary responsibility for the safety at the project site. Describe your organization's safety management plan and an overview of your safety training/continuing education program(s). Identify how your organization's safety plan is implemented on a project and the lines of authority and communication.

Quality Control:

Discuss your organization's philosophy for producing quality work and your approach for quality control. Provide information on how you handle minimizing warranty callbacks and typical response time for warranty callbacks (initial request to complete resolution). Describe how coordination has been achieved and communicated to subcontractors on projects of similar size and scope.

**5. History of Change Orders**

Use Attachment 5, or similar document, list the history of change orders of all the major construction WWTP and WTP projects completed by your organization in the past three (3) years.

**6. Minimum Insurance Requirements**

- A. Successful Prequalified Bidder shall procure, and maintain for the duration of the contract, insurance against claims for injuries to persons or damages to property, which may arise from or in connection with the project. The cost of such insurance shall be included in the Successful Prequalified Bidder's bid. Furnish requested insurance information on Attachment 6, attached.
- B. Successful Prequalified Bidder shall maintain the following coverages and minimum limits:
- i. Commercial General Liability: ISO "occurrence" form or its equivalent. \$5,000,000 per occurrence limit and products - completed operations limit. Any general aggregate limit shall apply separately to the project.
  - ii. Business Auto Coverage: Contractor shall maintain business auto liability and, if necessary, commercial umbrella liability insurance with a limit of not less than \$2,000,000 each accident. Such insurance shall cover liability arising out of any auto (including owned, hired and non-owned autos).
  - iii. Worker's Compensation and Employers Liability: Workers compensation limits as required by the statutes of the state of Alabama and employers liability limits of \$1,000,000. When

workers compensation insurance policy is applicable, waiver of subrogation and “other states” coverage is required.

- iv. Excess/Umbrella Liability: Contractor shall maintain commercial general liability (CGL) and, if necessary, commercial umbrella liability insurance, with a limit of not less than \$5,000,000 each occurrence for at least 3 years following substantial completion of the Work.
  - v. Property Insurance: Contractor shall purchase and maintain property insurance coverage for the Work at the site in the amount of the full replacement cost thereof. In general, this insurance shall be written on a Builder’s Risk “all-risk” or open peril or special causes of loss policy form which shall have a minimum limit of \$2,000,000.
  - vi. Owner’s and Contractor’s Protective Liability: Contractor shall maintain Owner’s and Contractor’s Protective Liability (OCP) insurance on behalf of Owner and Engineer, as named insured, with a limit of \$1,000,000.
  - vii. Coverage Limits: Coverage limits for General and Auto Liability exposures may be met by a combination of primary and umbrella policy limits.
  - viii. Exposure Limits: The above are minimum acceptable coverage limits and do not infer or place a limit on the liability of the Successful Prequalified Bidder. Any insurance or self-insurance maintained by the Owner shall be excess and not contribute to the coverage provided by Successful Prequalified Bidder.
- C. Additional Insured: Owner and Engineer shall be included as an insured under the CGL, (using ISO Additional Insured Endorsement CG 20 10 11 85 or a substitute providing equivalent coverage), and under the commercial automobile liability (using ISO Additional Insured Endorsement CA 20 48 or a substitute providing equivalent coverage), and commercial umbrella, if any. This insurance, including insurance provided under the commercial umbrella, if any, shall apply as primary and non-contributory insurance with respect to any other insurance or self-insurance programs afforded to, or maintained by, Owner.
- D. Verification of Coverage
- i. Successful Prequalified Bidder shall furnish the Owner certificates of insurance accompanied by additional insured endorsements (ISO Forms: CG 20 10; and CG 20 37) or their equivalent effecting the coverage required by the Owner that include products and completed operations. The endorsements and certificate for each insurance policy are to be executed by a person authorized by the insurer to bind coverage on its behalf.
  - ii. The insurance coverages are to be provided by Alabama admitted/licensed insurance companies rated A by BEST. Those not admitted or rated A must be approved by the Owner.
  - iii. Primary and Non-Contributory: Successful Prequalified Bidder agrees that the insurance listed above, including insurance provided under the commercial umbrella, if any, shall apply as primary and non-contributory insurance with respect to any other insurance or self-insurance programs afforded to, or maintained by, Owner.
  - iv. The commercial general liability policy shall not contain an endorsement excluding pollution liability. If the Contract Documents require Contractor to remove and haul hazardous waste from the Project site, or if the Project involves such similar environmental exposure, pollution liability coverage equivalent to that provided under the ISO Pollution Liability-Broadened Coverage for Covered Autos Endorsement (CA 99 48) shall be provided, and the Motor Carrier Act Endorsement (MCS 90) shall be attached with bid documents.
  - v. Professional Liability: Coverage provided by a “claims-made” policy will require that the

coverage be maintained for a minimum of two (2) years post project completion.

- vi. When any of the foregoing insurance coverages are required to remain in force after final payment, an additional certificate with appropriate endorsements evidencing continuation of such coverage shall be submitted along with the application for final payment and annually thereafter as required.
- E. Cancellation: Successful Prequalified Bidder shall not cause any insurance policy to be cancelled or permit it to lapse and all insurance policies shall include an endorsement to the effect that the insurance policy or certificate shall not be subject to cancellation or to a reduction in the required limits of liability or amounts of insurance until notice has been mailed to the Owner and Engineer, stating the date when such cancellation or reduction shall be effective, which date shall not be less than sixty (60) days after such notice.
- F. Subcontractors: The Successful Prequalified Bidder shall include all subcontractors as additional insureds under its insurance policies or shall furnish to the Owner separate certificates and endorsements for each subcontractor. All coverages for subcontractors shall be subject to all of the requirements stated herein.
- G. Property Insurance: Successful Prequalified Bidder shall purchase and maintain property insurance for the Work. Such insurance shall be written in an amount at least equal to the initial contract sum as well as subsequent modifications of that sum. A minimum limit of \$2,000,000 has been set for this Prequalification phase evaluation. The insurance shall apply on a replacement cost basis. If the insurance obtained in compliance with this paragraph is builders risk insurance, coverage shall be written on a completed value form that shall include insurance for at least physical loss or damage to the Work, temporary buildings, false-work, Work-in-transit including ocean transit, and Work in storage at the project site or at another location acceptable to the Owner, and shall insure against at least the following perils: fire, lightning, extended coverage, theft, vandalism and malicious mischief, earthquake, collapse, debris removal, demolition occasioned by enforcement of Laws and Regulations, water damage, and damage caused by frost and freezing. Additional insurance and permits must be obtained for the storage of construction materials within identified floodplains as required by the permitting authority.

## 7. Statement of Financial Condition

Provide evidence that the proposed contractor has sufficient financial resources to provide all work necessary to complete the project including construction, startup and warranty services. Please indicate contractor's bond capacity and value of current workload. Provide a statement of litigation including record of judgments against proposed contractor within the past five (5) years. Provide the approximate dollar value that is in dispute. Provide a list of all current and past projects within the last five (5) years where liquidated damages and/or payments were withheld and explain why. Additionally, furnish all requested information in Attachment 7, or similar document.

## 8. Additional Information on Organization Background

### A. Attachments

Provide the documents identified below as part of the prequalification package (documents should be filed with the Owner by the organization requesting Prequalification, in accordance with the Public Contract Code, for the aforementioned project).

Failure to provide all documents identified below will be cause for disqualification for this project.

- Certificate of Accountant
- General Statement of Bank Credit

- Notarized Statement from Bonding Company
- Notarized Statement from Worker's Compensation Insurance Carrier
- Current Copy of Organization's Alabama Contractor License(s)
- Certification declaring that the applying Organization has not had a surety company finish work on any project within the last five (5) years.
- Certification declaring the applying Organization has not been disqualified, removed, or otherwise prevented from bidding on, or completing a federal, state, or local government project because of violations of law or safety regulations.
- Certification declaring the applying Organization, in the last five (5) years has not been found by a judge, arbitrator, jury, or a nolo contendere plea to have submitted a false or fraudulent claim to a public agency.

B. Additional Questions/Information

In Attachment 8 (attached), provide the requested information and answer all of the questions. Failure to provide all requested information may result in removal of the proposed bidder from consideration for this project.

**9. Grading System**

Statement of Qualifications will be graded in accordance with the following system: Each statement will be reviewed and scored based on the criteria and numerical values shown below. A minimum score (determined by the Owner) will be required for Prospective Bidders to be prequalified.

A. General **(5%)**

- i. Statement Clarity
- ii. Statement Completeness

B. Experience/Performance **(35%)**

- i. Past Project Experience
- ii. Past Project Performance
- iii. Timely Completion of Work
- iv. History of Change Orders
- v. Uncompleted Projects
  - a. Bond Status
  - b. Scheduled Completion
- vi. Promptness of Warranty Service
- vii. Overall Successful Completion
  - a. Time
  - b. Money

C. Project Team/Management Plans **(30%)**

- i. Key Personnel Experience/Qualifications/Availability
- ii. Safety Management Plans
- iii. Quality Control Plans

D. Financial Statement **(30%)**

- i. Value of Current Work
- ii. Bonding Capacity
- iii. Pending Claims/Disputes
- iv. Liquidated Damages Withheld

## Attachment 1

### GENERAL CONTRACTOR LICENSE INFORMATION

A. Name of license holder, exactly as it appears on file with the state where incorporated.

\_\_\_\_\_

B. License Classification \_\_\_\_\_

C. License Number \_\_\_\_\_

D. Expiration Date \_\_\_\_\_

E. Citations/Complaints \_\_\_\_\_

F. License Questions

1. Has your firm changed names or license number in the past five years?  Yes  No

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

2. Has any owner, partner, or (for corporations:) officer of your firm operated a construction firm under any other name in the last five years?  Yes  No

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

3. Has any State License held by your firm or its Responsible Managing Employee (RME) or Responsible Managing Officer (RMO) been suspended within the last five years?

Yes  No

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

4. Has your contractor's license been revoked any time in the last five (5) years?

Yes  No

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





# ATTACHMENT 4

## PROPOSED PROJECT PERSONNEL

### A. Proposed Project Manager/Director: (use attachments as needed)

1. Applicant shall include the name and qualifications of the proposed Project Manager for this project. The Project Manager shall be directly responsible for and in charge of the project activities, including schedule, quality, cost, staffing, and safety. The project manager will be the liaison and coordinator with the Owner, Engineer, General Superintendent, and Contractor. Position shall have full authority to bind Contractor hereunder including negotiation and execution of Change Orders. The Project Manager should have a minimum of eight (8) years' experience in construction with no less than three (3) years' experience managing construction and renovation of water and wastewater treatment facilities. The Project Manager must have been the manager for at least one (1) water or wastewater treatment project with a contract value of at least \$5 million.

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

Currently employed by: \_\_\_\_\_

Years with Company: \_\_\_\_\_

Current Address: \_\_\_\_\_

Company Contact Person: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email Address: \_\_\_\_\_

Total Years Construction Experience: \_\_\_\_\_

Total Years WTP/WWTP Construction Manager: \_\_\_\_\_

2. List a water or wastewater treatment plant construction/renovation project with a constructed value \$5 million or larger that the proposed project manager has handled for the Contractor, or for any other company.

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

Project Name/Type/Size: \_\_\_\_\_

Location (City/State): \_\_\_\_\_

Contract Value: \_\_\_\_\_ Year Completed: \_\_\_\_\_

Client/Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email Address: \_\_\_\_\_

B. General Superintendent:

1. The General Superintendent reports directly to the Project Manager. The General Superintendent shall be directly responsible for Foremen, Field Engineering, and Material Control. The General Superintendent is also responsible for the plant or system outage planning and coordination, excavation endorsements, equipment installation certification, start-up planning, equipment and system start-up, and other duties required for coordination and management of the construction activities for the project. The General Superintendent should have ten (10) years' experience in the construction and renovation of water and wastewater treatment facilities. The General Superintendent must have been the Superintendent for at least one (1) water or wastewater project with a contract amount over \$2 million. List the name and qualifications for the proposed General Superintendent for this Project.

Name of Proposed General Superintendent: \_\_\_\_\_

Currently employed by: \_\_\_\_\_

Years with Company: \_\_\_\_\_

Current Address: \_\_\_\_\_

Company Contact Person: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email Address: \_\_\_\_\_

Total Years Construction Experience: \_\_\_\_\_

Total Years WTP/WWTP Construction Experience: \_\_\_\_\_

2. List a water or wastewater treatment plant construction/renovation project with a constructed value \$5 million or larger that the proposed project manager has handled for the Contractor, or for any other company.

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

Project Name/Type/Size: \_\_\_\_\_

Location (City/State): \_\_\_\_\_

Contract Value: \_\_\_\_\_ Year Completed: \_\_\_\_\_

Client/Contact Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email Address: \_\_\_\_\_





**ATTACHMENT 6**  
**INSURANCE INFORMATION**

Name of Organization: \_\_\_\_\_

(Name must correspond exactly with Contractor's License)

**Insurance Requirements**

Each policy of insurance carried by the successful bidder for this project shall be issued by an insurance company licensed to do business in the State of Alabama with rating of "A" or better.

- A. Attach a notarized statement from the Worker's Compensation carrier specifying your organization's current Experience Modification rating for Worker's Compensation on major WWTP/WTP Projects in the past five (5) years (include the rating for projects in the State of Alabama if applicable).
- B. List the names of insurance firms utilized by your organization in the last five (5) years, for projects over \$1 million (use attachments if necessary).

**Name of Insurance Company No. 1** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Rating: \_\_\_\_\_

**Name of Insurance Company No. 2** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Rating: \_\_\_\_\_

**Name of Insurance Company No. 3** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

Rating: \_\_\_\_\_

## ATTACHMENT 7

### ORGANIZATION'S FINANCIAL INFORMATION

Name of Organization: \_\_\_\_\_

(Name must correspond exactly with Contractor's License)

#### Surety and Bonding Requirements

- A. Attach a notarized statement from the bonding firm your company proposes to use indicating their commitment to provide a Performance, Payment, and Maintenance Bonds for the full amount of the contract.
- B. List the names of the Bonding firms utilized by your organization in the last five (5) years for projects over \$5 million (use attachments if necessary).

Name of Bonding Company No. 1 \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

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

Amount Bonded: \_\_\_\_\_ % Completed: \_\_\_\_\_

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

Amount Bonded: \_\_\_\_\_ % Completed: \_\_\_\_\_

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

Amount Bonded: \_\_\_\_\_ % Completed: \_\_\_\_\_

**Name of Bonding Company No. 2** \_\_\_\_\_

Address: \_\_\_\_\_

Contact Name: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

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

Amount Bonded: \_\_\_\_\_ % Completed: \_\_\_\_\_

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

Amount Bonded: \_\_\_\_\_ % Completed: \_\_\_\_\_

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

Amount Bonded: \_\_\_\_\_ % Completed: \_\_\_\_\_

**ATTACHMENT 8**  
**ADDITIONAL BACKGROUND INFORMATION**

1. Other or former names under which your organization has operated?

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2. How many years of experience in construction work does your organization have?

As a General Contractor? \_\_\_\_\_

As a Subcontractor? \_\_\_\_\_

3. How many years' experience in the proposed type and size of construction work has your organization had as a general contractor?

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4. Has any officer or partner of your organization, failed to complete a Contract?

Yes

No

If "Yes," please provide details, including dates.

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5. In what other lines of business do you or your organization or any partner thereof, have financial interest?

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6. List the names of any persons with whom your company has associated in business as partners or business associates during the past five (5) years.

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7. In the last five (5) years, has a surety firm completed a contract on your behalf or paid for completion because your firm was default terminated by the project owner?

Yes  No

If "Yes," please provide additional details.

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8. At the time of submitting this pre-qualification form, is your organization ineligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to Alabama State Law?

Yes  No

If "Yes," state the beginning and ending dates of the period of debarment.

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9. At any time during the last five (5) years, has your organization 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

10. Has any owner, partner, or officer within your organization operated a construction firm under any other name in the last five (5) years?

Yes  No

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

11. Has there been any change in ownership of your organization at any time in the last five (5) years?

Yes

No

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

12. Is your organization a subsidiary, parent, holding company, or affiliate of another construction firm? (Include information about other firms if one firm owns 50% or more of another, or if an owner, partner, or officer of your organization holds a similar position in another firm)

Yes

No

If "Yes," explain on a separate signed page.

13. Are any corporate officers, partners, or owners in your organization connected to any other construction firms (Include information about other firms if an owner, partner, or officer of your organization holds a similar position in another firm)?

Yes

No

If "Yes," explain on a separate signed page.

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

Yes

No

If "Yes," explain on a separate signed page, identifying all such projects by owner, owner's address, and 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.

15. In the last five (5) years, has your organization, or any organization with which any of your company's owners, officers, or partners was associated, been debarred, disqualified, removed, or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason? ("Associated with" refers to another construction firm in which an owner, partner, or officer of your firm held a similar position)

Yes

No

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

16. In the last five (5) years, has your organization been denied an award of a public works contract based on findings that your company was not a “responsible” bidder?

Yes  No

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

17. In the past five (5) years, has any claim **against** your organization concerning your company’s work on a construction project **been filed in court or arbitration?**

Yes  No

If “Yes,” identify the claim(s) on separate signed sheets of paper by providing the project name, date of the claim, name of the claimant(s), 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).

18. In the past five (5) years, has your organization made a claim against a project owner concerning work on a project or payment for a contract and **filed that claim either with a public entity or in court or arbitration?**

Yes  No

If “Yes,” identify the claim on separate signed pages 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).

19. At any time during the past five (5) years, has any surety company made payments on your organization’s behalf as a result of a default, to satisfy any claims made against a performance, maintenance, statutory, or payment bond issued on your organization’s behalf, in connection with a construction project, either public or private?

Yes  No

If “Yes,” explain on a separate signed page. Provide the amount of each such claim, the name and telephone number of the claimant, the date of the claim, the grounds for the claim, the present status of the claim, the date of resolution of such claim if resolved, the method by which such was resolved if resolved, and the nature of the resolution and the amount (if any) at which the claim was resolved.

20. In the last five (5) years, has any insurance carrier, for any form of insurance, refused to renew the insurance policy for your organization?

Yes  No

If “Yes,” explain on a separate signed page by identifying the name of the insurance carrier(s), the form(s) of insurance, and the year of refusal.

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

Yes

No

If "Yes," provide explanation on a separate signed page by identifying who was involved, the name of the public agency, the date of the investigation, and the grounds for the finding.

22. Has your organization or any of its owners, officers, or partners ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes

No

If "Yes," provide explanation on a separate signed page by identifying who was involved, the name of the public agency, the date of the investigation, and the grounds for the finding.

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

Yes

No

If "Yes," provide explanation on a separate signed identifying the person or persons convicted, the court (the city if a state court or the district/location if a Federal court), the criminal conduct, and the year in which the incident took place.

24. Has the (Federal or State) Occupational Health and Safety Administration (OSHA) cited and assessed penalties against your organization for any "serious," "willful," and or "repeat" violations of its safety or health regulations in the past five (5) years?

Yes

No

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

25. Has the State or Federal Environmental Protection Agency (EPA) or any local/regional Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either your organization, or the owner of a project on which your firm was the contractor, in the past five (5) years?

Yes

No

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

26. Does your company require and ensure that personnel and sub-contractors consistently comply with OSHA regulations for safety and performance?

Yes

No

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

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

Yes

No

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

29. Have there been one or more occasions in the last five (5) years in which your organization was required to pay either back wages or penalties for your own organization's failure to comply with the **state's** prevailing wage laws?

Yes

No

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

30. In the past five (5) years, have there been one or more occasions in which your own organization has been penalized or required to pay back wages for failure to comply with the **federal** Davis-Bacon prevailing wage requirements?

Yes

No

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

31. Does your organization have any ongoing investigations by any agency regarding violations of the State Labor Code or State licensing laws?

Yes

No

32. Is your organization 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.

33. Was your firm in bankruptcy at any time in the last five (5) years? (This question refers only to a bankruptcy action that was not described in the answer to the previous question (31), above)

Yes

No

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

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

Yes

No

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

35. State your organization's gross revenue in dollars for each of the last three (3) calendar years.

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