

**CONSTRUCTION CONTRACTOR'S QUALIFICATION STATEMENTS  
(PREQUALIFICATION PACKAGE)**

**NOTICE INVITING STATEMENTS OF QUALIFICATION**

Statements of qualification may be submitted electronically (via email) to:  
Lindsay Tucker ([Litucker@GarverUSA.com](mailto:Litucker@GarverUSA.com))  
until **2:00 P.M.** on **Friday, September 5, 2025**,  
at which time no more will be accepted for:

**Stickney Water Treatment Plant (WTP) Structural Rehabilitation**

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 from the Garver Online Planroom  
(Click the Planroom link @ [www.garverusa.com](http://www.garverusa.com))

The project is to conduct various repairs and updates to Stickney WTP. The completed work will provide Owner with various structural repairs to noted issues on existing basin concrete walls, walkways, and other surfaces. More specifically, the Project includes:

- Rehabilitation of concrete as outlined in the plans and specifications for flocculation Basins 1, 2, 3 and 4. This work includes but is not limited to surface preparation, crack injection and sealing, forming, and resurfacing.
- Rehabilitation of the concrete as outlined in the plans and specifications for settling Basins 1, 2, 3 and 4.
- Rehabilitation of the concrete as outlined in the plans and specifications on the flume and underdrain for Basins 1 and 2.
- Addition of covers over the back flume serving Basins 1 and 2.
- Repair of concrete staircase structure on west side of Basin 3.
- Repair of existing handrail mounting brackets
- Installation of new handrail.

Prospective Contractors should be aware that this project is funded via ADEM DWSRF.

For further information, contact Lindsay Tucker, Garver Project Manager, at  
[Litucker@GarverUSA.com](mailto:Litucker@GarverUSA.com).

# **CONTRACTOR PREQUALIFICATION PACKAGE**



# Contractor Prequalification Package

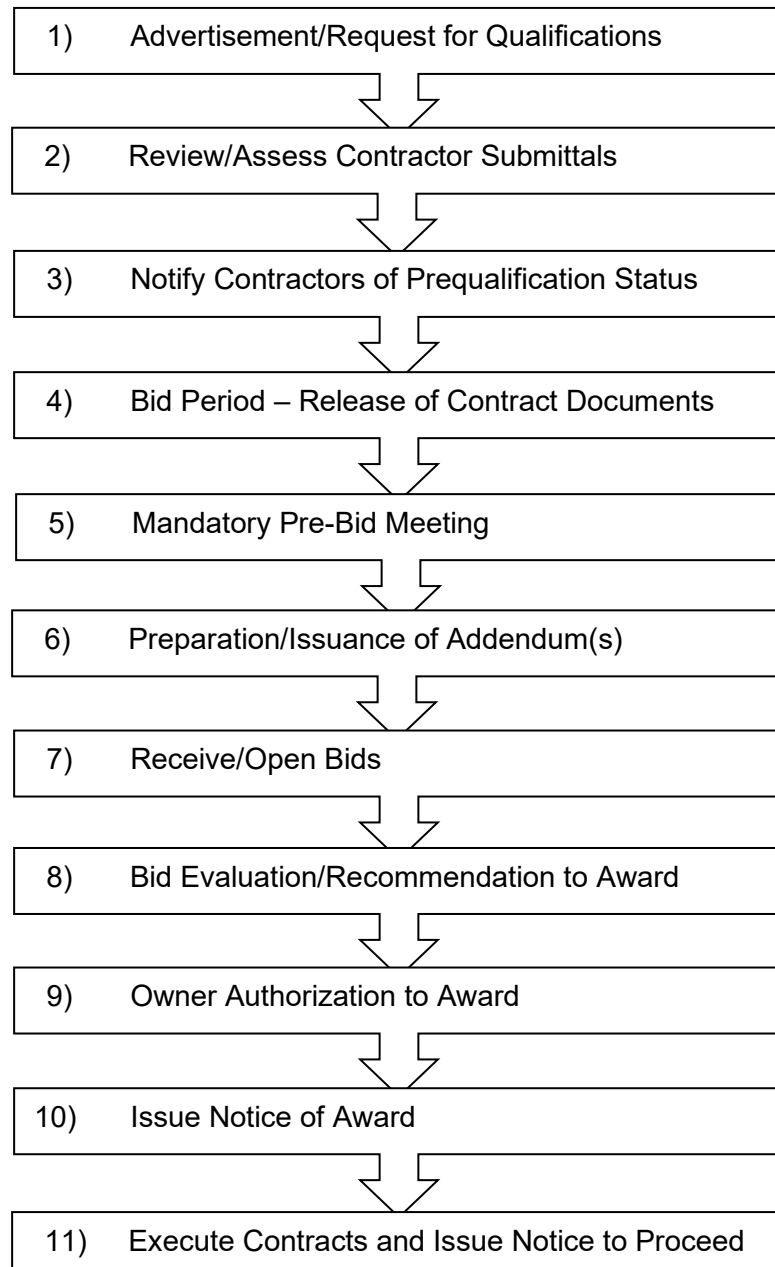
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## **SCHEMATIC OF BID PERIOD PROCEDURES**

Project: W10-2401555 Stickney WTP Structural Rehabilitation



# INSTRUCTIONS TO CONTRACTORS

## SUBMITTAL INFORMATION

Prequalification document (electronic copies only) shall be transmitted to:

Lindsay Tucker  
[LiTucker@GarverUSA.com](mailto:LiTucker@GarverUSA.com)

Prequalification submittals will not be accepted after **2:00 P.M., Friday, September 5, 2025**. Those prequalified to submit a bid for the project will be notified of the exact date of availability of the Bidding Documents. Bidding Documents for the Stickney WTP Structural Rehabilitation are anticipated to be available no later than **September 23, 2025**

## PURPOSE

The purpose of the Prequalification Procedure described in this Document is to provide Owner and Engineer with a mechanism to evaluate and determine whether Prospective Bidders are qualified to participate in the construction of the project.

Prospective Bidders, i.e., Prospective General Contractors, are required to comply with these Requirements for Prequalification. Only contractors the Owner deems to be qualified and capable of completing the Project on schedule in conformance with the Contract Documents will be prequalified. Only those firms that are prequalified by the Owner will be 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        |

The Bidders/General Contractors must have a minimum of five (5) years' experience in concrete restoration within wastewater treatment plant (WWTP) or water treatment plant (WTP) facilities. At least five (5) of the Contractor's Key Personnel must have a minimum of five (5) years' experience in projects involving concrete rehabilitation. The Contractor work performed is required to meet ACI 562 and ACI 563 standards. The contractor must demonstrate Successful Completion of at least three (3) projects involving concrete repair or rehabilitation at a WWTP or WTP and one (1) project involving such rehabilitation at a water or wastewater facility with a dollar value of at least \$2,000,000, both within the past five (5) years. At least two (2) Key Personnel for this project must have completed at least three (3) WTP or WWTP projects, **as an employee of the Company** bidding this project.

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. Having a surety finish work on any contract in the past five (5) years.
3. Not meeting the minimum standards for bonding capacity (as described in the Prequalification Questionnaire).
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 Filed Superintendent experienced with similar projects.
7. Not having completed at least one (1) contract costing in excess of \$2,000,000, in the past five years involving concrete rehabilitation at wastewater treatment plant (WWTP) or water treatment plant (WTP) facilities.

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, Engineer and other consultants, if desired, selected by Owner will evaluate the completed Questionnaires and make recommendations to the Owner. The Owner will determine and identify the qualified Bidders in accordance with the following timetable. Written notification of this determination will be sent to each Bidder (via email to the contact provided when submitting the prequalification documents). Those Bidders, if any, determined not to be qualified to do the work, will have an opportunity to file a written appeal of the determination within twenty-four (24) hours after the date of receiving their notification (via email). The decision of Owner regarding the appeal(s) will be final.

#### TENTATIVE PROJECT TIMETABLE

The following is a tentative timetable of Bidder prequalification and opening of Bids:

Prequalification Advertisement	August 4, 2025
Prequalification Documents Submittal Deadline	September 5, 2025
Notice of Prequalification to Bidders	September 19, 2025
Bidding Documents Uploaded for Prequalified Contractors	September 23, 2025
Mandatory Pre-Bid Conference	October 9, 2025
Final Addendum	October 29, 2025
Bid Opening	November 3, 2025

## PROJECT BIDDING INFORMATION

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

- A. Responsive Bidder – A Pre-Qualified Bidder who has submitted a Bid, which conforms in all material respects to the Bidding Documents.
- B. Responsible Bidder – A Pre-Qualified Bidder who has the capacity and capability in all respects to perform fully the contract requirements and who has the integrity and reliability to assure good faith performance. Among factors to be considered in determining whether the Bidder meets these standards, are:
  - (i.) Financial, material, equipment, facility, personnel resources, and expertise necessary to meet contractual requirements;
  - (ii.) A record of integrity;
  - (iii.) A record of Successful Completion defined as: completion of a project within a reasonable time frame and budget including history of change orders;
  - (iv.) Qualified legally to contract with the Owner; and
  - (v.) Has not failed to supply any necessary information in connection with the inquiry concerning responsibility.

## 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, including the provision of a 100 percent payment bond and 100 percent performance bond, 100 percent maintenance bond, and all Affirmative Action Requirements and prevailing wage laws.

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 Work will provide Owner with various structural repairs to noted issues on existing basin concrete walls, walkways, and other surfaces. More specifically, the Project includes, but is not limited to the following:

- Rehabilitation of concrete as outlined in the plans and specifications for flocculation Basins 1, 2, 3 and 4. This work includes but is not limited to surface preparation, crack injection and sealing, forming, and resurfacing.
- Rehabilitation of the concrete as outlined in the plans and specifications for settling Basins 1, 2, 3 and 4.
- Rehabilitation of the concrete as outlined in the plans and specifications on the flume and underdrain for Basins 1 and 2.
- Addition of covers over the back flume serving Basins 1 and 2.
- Repair of concrete staircase structure on west side of Basin 3.
- Repair of existing handrail mounting brackets
- Installation of new handrail.

# PREQUALIFICATION QUESTIONNAIRE

Mobile Area Water and Sewer Service  
Stickney Water Treatment Plant Structural Rehabilitation

## 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 Garver (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**

Furnish on Supplement 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**

On Supplement 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**

Using Supplement 3 as a sample format, provide information for relevant WWTP construction projects completed by your organization. Relevant projects shall include as many of the following components and construction types as necessary to demonstrate qualifications:

- Construction projects similar in scope and scale;
- Successful completion or currently in construction of WWTP or WTP improvement and/or rehabilitation project in excess of \$2,000,000 the last five (5) years;
- Successful completion of at least three (3) improvement and/or rehabilitation projects involving work at a water or wastewater treatment facility in the last five (5) years;
- Rehabilitation of concrete structures intended to contain water or wastewater;
- Phased completion of the project in order to maintain the overall treatment functionality and ability of the facility to maintain discharge compliance;
- Demonstrated ability to conduct concrete repair work to product manufacturers or industry standards.
- Demonstrated ability to minimize project change orders; and
- Demonstrated ability to meet project timelines.

### **4. Personnel Experience/Management Plans**

#### Proposed Project Personnel:

Provide proposed key personnel's 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 others involved in the management of the project. Provide information requested in Supplement 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.

#### 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**

On Supplement 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 Supplement 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 Garver, LLC, 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 Garver, LLC 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 Supplement 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 supplement 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

## SUPPLEMENT 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.

[illegible][illegible][illegible][illegible][illegible][illegible][illegible][illegible][illegible][illegible][illegible]

**SUPPLEMENT 3**  
**CONSTRUCTION EXPERIENCE**  
**Project Information Example**

<b>Name, Location, and Description of Project</b>	<b>Owner Info</b>	<b>Design Engineer/ Contact Information</b>	<b>Original Construction Cost (\$)</b>	<b>Total Construction Cost (\$)</b>	<b>Original Scheduled Completion (Days)</b>	<b>Time Extensions Granted (Days)</b>	<b>Actual Time of Completion (Days)</b>	<b>Reference Contact Information (Name, Phone, E-mail)</b>

## SUPPLEMENT 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 \$2 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 \$2 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: \_\_\_\_\_

- C. Additional Key Personnel: On the Schedule below, provide information any additional Key Personnel Proposed for this project (including but not limited Superintendents, Foremen, and Managers). **Resumes for key personnel are also required.**

KEY PERSONNEL (DESIGNATED FOR THIS PROJECT)				
Name	Position	Date started with this organization	Date started in construction	Prior positions and experience in construction

**SUPPLEMENT 5**  
**CHANGE ORDER HISTORY (IN PAST 5 YEARS)**

<b>Name, Location, and Description of Project</b>	<b>Owner</b>	<b>Design Engineer/Contact Information</b>	<b>Contract Price</b>	<b>Value of Change Orders</b>	<b>% Change Order Value of the Original Contract</b>	<b>Change in Capacity/Value Added by Change Order</b>	<b>Change Order Initiator (Owner, Contractor, Engineer)</b>

**SUPPLEMENT 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: \_\_\_\_\_

## SUPPLEMENT 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 \$2 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: \_\_\_\_\_

**SUPPLEMENT 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. 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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27. 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.)

28. 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.

29. 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.

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

☐ Yes

☐ No

31. 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.

32. 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.

33. 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.

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

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