

**THE CITY OF THORNTON**

**REQUEST FOR CONTRACTOR QUALIFICATIONS**

**FOR**

**GROUNDWATER RECHARGE FACILITIES**

**PROJECT NO. 21-51**

**SUBMITTAL DEADLINE:**

**NOVEMBER 4, 2022**

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### **III. NOTICE – REQUEST FOR CONTRACTOR QUALIFICATIONS FOR GROUNDWATER RECHARGE FACILITIES PROJECT NUMBER 21-51**

**Notice of Request for Contractor Qualifications:** The City of Thornton (“Thornton”) is requesting Statement of Qualification (SOQ) submittals from General Contractors (“Respondent”) interested in becoming prequalified to bid on the Groundwater Recharge Facilities, Project No. 21-51 (“Project”). SOQ’s will be received by Thornton until **5:00 p.m., Friday, November 4, 2022.**

Thornton reserves the right to qualify Respondents based on size, type of work, experience, and other factors as Thornton deems appropriate. There is no limit to the number of firms that may be prequalified, and it is Thornton’s intent to prequalify all Respondents deemed qualified by the Selection Committee.

Thornton intends to qualify Respondents based on their specific qualifications as they apply to the Project.

Thornton intends to solicit bids from contractors who are pre-qualified through this RFQ for an initial project and may solicit additional bids as the projects are designed in the future. Contractor’s prequalified through this RFQ will be eligible to bid on future groundwater recharge projects as well.

**Project Locations:**

The initial Project location is in Weld County, CO near the intersection of County Roads 41 and 96, located northeast of Pierce, CO on a Thornton owned farm.

Future locations for projects may include land within Larimer and Weld Counties.

**Submittal Locations:**

**Preferred method: Proposals submitted electronically shall be uploaded to the Vendor’s portal through the BidNetDirect.com website and shall follow the process/guidelines identified on the website and in this solicitation.**

Physical SOQs may be submitted directly in person, by mail, or courier service. Physical SOQs may be submitted to:

Contract Administration Office  
2<sup>nd</sup> Floor of City Hall  
9500 Civic Center Drive  
Thornton, Colorado 80229-4326; or,

Thornton Agricultural Stewardship Office  
16754 County Road 84  
Ault, CO 80610

Late submissions will not be considered by the Selection Committee. If the SOQ is sent by U.S. mail or courier service, the SOQ shall be contained in a sealed inner envelope or box, which is then inserted into the mailing envelope or box. Indicate **“SOQ Enclosed, Notice of Request for Contractor Qualifications, Groundwater Recharge Facilities, Project No. 21-51”**, on the outside of the mailing envelope or box. It is the responsibility of the Respondent to ensure that SOQ’s are received by Thornton by the cutoff time and date.

Please include one (1) original SOQ and one (1) flash drive with your submittal.

Note: Late Proposals will not be accepted under any circumstances. Vendors electing to submit their bid via mail or courier service accept all responsibility for delivery to the Contract Administration Office by the bid closing time indicated. Thornton is not responsible for lost or late delivery of bid proposals.

**Scope of Project:** The scope of this Project is to construct a trial recharge groundwater facility and provide the required supporting construction including flumes, splitter boxes with gates, piping, rehabilitating existing ditches, providing new ditches, and installing ditch crossings. The Project includes placing spoil in two existing ponds. Work shall include, but not be limited to: mobilization and demobilization of construction equipment and materials; providing erosion control and temporary water control for the construction site; clearing, grubbing, stripping, excavating, backfilling and performing other earthwork operations associated with the Work; constructing reinforced concrete structures; providing a new earthen ditch; rehabilitating an existing earthen ditch; providing water for construction purposes; placing spoil in two existing ponds; installing riprap; providing new piping; installing ditch crossings; installing hydraulic gates, flumes, stilling wells and monitoring wells; reseeding disturbed areas; cleaning of the construction site; and performing any Work indicated in the Project Drawings and Specifications.

**Contractors may request a copy of this RFQ in a Word document for ease of filling this form out. To request a copy in Word send your request to [patrick.hinterberger@ThorntonCO.gov](mailto:patrick.hinterberger@ThorntonCO.gov).**


Thornton utilizes the BidNet Direct System at [www.BidNetDirect.com](http://www.BidNetDirect.com) to distribute official copies for Contractor Qualifications (“RFQ”) for use in preparing submittals. Respondents will be required to register with the website to download the RFQ documents and any subsequent addenda. There is no charge by BidNet Direct for this service. If you experience problems with the BidNet Direct website, please call 1-800-835-4603 for assistance. Respondent(s) are required to acknowledge all addenda with their submittal and are encouraged to either register with the website or to view the addenda posted on the Contract Administration bulletin board prior to delivering their submittal. Respondents that do not acknowledge all addenda may be considered non-responsive. Upon request, the RFQ documents, including addenda, are also available for viewing on the City of Thornton Website, <https://solicitations.thorntonco.gov/solicitations> or at the Contract Administration office located on the 2nd floor of City Hall at 9500 Civic Center Drive, Thornton, CO. Respondents that do not have download and/or printing capability in-house, may contact a commercial blueprint company or other reprographics company for assistance with downloading and printing the RFQ.

All questions regarding the RFQ shall be directed in writing to Patrick Hinterberger, Senior Contracts Administrator, e-mail: [patrick.hinterberger@ThorntonCO.gov](mailto:patrick.hinterberger@ThorntonCO.gov).

**Anticipated Schedule:**

It is anticipated that formal bids for the Project will be requested in January 2023.

Published at: BidNet Direct, COT Website and the Contracts & Purchasing Bulletin Board.

BY:  DocuSigned by:  
*Jim Jensen*  
E057D2786399405...

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Jim Jensen  
Contracts Manager

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## IV. REQUEST FOR QUALIFICATIONS

Thornton is soliciting written Statements of Qualifications from Contractors to be eligible to Bid on the Groundwater Recharge Facilities, Project No. 21-51. To be eligible, the Respondent must be capable of supplying the Work as described herein and must meet all other criteria outlined in this RFQ. Thornton reserves the right to revise this process, to issue a new RFQ, or formally advertise and formally Bid any element of Work at Thornton's sole option.

It is Thornton's intent to prequalify Contractors for the Groundwater Recharge Facilities, Project No. 21-51. Respondents will be qualified on a variety of factors including, but not limited to, experience, past-performance, safety record, financial standing, and workforce/employee factors. Prequalified Respondents will be permitted to submit a Bid proposal in response to this Bid Solicitation. Bid package will include a construction level set of plans and technical specifications. It is Thornton's intent to award the Project on the basis of the lowest responsive and responsible Bid proposal.

Thornton will evaluate the qualifications of Respondents and will notify prequalified Respondents prior to issuance of a Bid. Information regarding company and personnel experience, references, work history, staffing plan, training, employee benefits, employee hourly rates, financial standing, insurance and bonding capacity, litigation and claims history, safety record, capability to perform the Work, and other information is requested via the attached Statement of Qualifications Form.

Subcontractors and suppliers will not be prequalified at this time; however, Thornton reserves the right to post-qualify any or all proposed subcontractors and suppliers and all subcontractors and suppliers shall be subject to Thornton's approval. In addition, the Respondents and proposed subcontractors must show a prior successful working relationship on similar type projects.

### SECTION I – INQUIRIES AND INSTRUCTIONS

From the date of submission of qualifications, any Respondent that directly or indirectly contacts any member or employee of Thornton, or any person in connection with the prequalification selection process, is subject to disqualification except if it is to make an inquiry as provided herein, or to request general information about the RFQ, or the availability of any addenda related to the RFQ.

All inquiries relating to this RFQ shall be addressed in writing to:

City of Thornton  
Attention: Patrick Hinterberger, Senior Contract Administrator  
9500 Civic Center Drive  
Thornton, CO 80229-4326  
Fax: 303-538-7556  
E-mail: [patrick.hinterberger@ThorntonCO.gov](mailto:patrick.hinterberger@ThorntonCO.gov)

If a Respondent finds discrepancies in or omissions from the RFQ, or requires additional clarification of any part thereof, a written request for interpretation shall be submitted to Patrick Hinterberger, Sr. Contract Administrator. Any interpretation of, or change made to the RFQ will be made by written notification and will become part of the RFQ. Thornton will not be responsible for the accuracy of any other ORAL EXPLANATIONS, INTERPRETATIONS, OR REPRESENTATIONS. All inquiries shall be made in writing and all responses will be provided in writing.

## **SECTION II – SUBMITTAL DATE AND LOCATION**

To be considered by the Selection Committee for prequalification at the end of this review period, all SOQ's must be received by:

**November 4, 2022 by 5:00 p.m.**

**Preferred method: Proposals submitted electronically shall be uploaded to the Vendor's portal through the BidNetDirect.com website and shall follow the process/guidelines identified on the website and this solicitation.**

Physical SOQs may be submitted directly in person, by mail, or courier service. Physical SOQs may be submitted to:

Contract Administration Office  
2<sup>nd</sup> Floor of City Hall  
9500 Civic Center Drive  
Thornton, Colorado 80229-4326; or,

Thornton Agricultural Stewardship Office  
16754 County Road 84  
Ault, CO 80610

## **SECTION III – CONFIDENTIAL INFORMATION**

Prior to selection of the prequalified Respondents, any information contained within the SOQ may be held confidential by Thornton pursuant to Colorado's Open Records Act (CORA), specifically Colo. Rev. Stat. 24-72-204(3)(a)(IV). After selection, the information within the SOQ becomes public information with the exception of information that has been clearly marked as confidential by the Respondent. **Any information marked confidential shall comply with CORA and other applicable statutes. Thornton shall be held harmless from any claims arising from the release of confidential information not clearly designated as such by the Respondent or which does not comply with CORA. In general, it is not acceptable to Thornton to mark information other than financial statements, Project financing data, litigation history, tax audit history, or client lists as confidential. Further, it is not acceptable to mark price information as confidential. Failure to adhere to these restrictions may result in the entire submission being deemed non-responsive.**

If a request to inspect the response materials, or any portion thereof, is made by a third-party, Thornton will endeavor to keep private materials marked confidential to the extent allowed by CORA. The Respondent understands that Thornton may be subject to the provisions of CORA. Thornton will try to endeavor to inform the Respondent of any third-party request for disclosure of such information pursuant to the CORA or as may be otherwise made to Thornton. If the Respondent requests that such information be held confidential and not disclosed by Thornton, the Respondent will assume the defense of such position, up to and including litigation, and will indemnify and save and hold harmless Thornton, its officers, and employees, from any expense, fees, costs, or liability associated with such third-party request or such litigation.

#### **SECTION IV – DEFINITION, CONTEXT, AND GENDER**

Unless otherwise specified in this document, all words shall have a common meaning unless the context in which they are used clearly requires a different meaning. Words in the singular number include the plural, and in the plural include the singular. Additionally, words of the masculine gender include the feminine and the neuter, and when the sense so indicates, words of the neuter gender may refer to any gender.

#### **SECTION V – CONDITIONS OF SOQ SUBMITTAL**

1. Only prime Contractors are required to submit prequalification documents. Subcontractors and suppliers may be post-qualified, using Thornton's post-qualification form, during the Bid evaluation process, and all subcontractors and suppliers shall be subject to Thornton's approval.
2. All Respondents shall comply with all conditions, requirements, and specifications contained herein, and any departure from such conditions, requirements, or specifications may constitute sufficient cause for rejection of the entire SOQ.
3. Only one (1) SOQ will be accepted from any Respondent. This includes each member of a joint venture.
4. Information submitted for the prequalification process shall become the sole property of Thornton. To the extent permitted by law, financial information and litigation and claim information will be considered confidential (if marked as such by the Respondent) by Thornton and will not be subject to review by outside individuals or organizations. Upon request, financial information and litigation and claim information of Respondents that are not prequalified may be picked up by the Respondent, or at their option they may direct Thornton to shred the documents. If not picked up by respondent within ten (10) Calendar Days of notification of not being prequalified, Thornton may at its sole option shred these documents.
5. Material misstatements on any of the SOQs' forms may be grounds for rejection of the Respondent's SOQ on this Project. Any such misstatement, if discovered after a Contractor has been notified of being prequalified, or award of a Contract

to such Respondent, may be grounds for immediate termination of the Contractors Contract and/or rescinding the Contractor's prequalified status. Additionally, the Respondent will be liable to Thornton for any additional costs or damages to Thornton resulting from such misstatements, including costs and attorney's fees for collecting such costs and damages.

6. Each Respondent submitting a SOQ will be notified of their prequalified status by Thornton.
7. No Respondent will be considered for prequalification if it is in arrears, indebted, debarred or is in default on a contract or obligation, either as surety or in any capacity, with Thornton.
8. Thornton reserves the right to reject any and all SOQ's, or any part thereof. Thornton further reserves the right to waive any formalities, or informalities contained in any SOQ's, and to prequalify the most responsive, responsible, and trustworthy Respondent as deemed in the best interest of Thornton.
9. All SOQ's shall be prepared in a comprehensive manner as to content, but no necessity exists for expensive binders or promotional materials.
10. All costs, including travel and expenses incurred in the preparation of the SOQ, shall be borne solely by the Respondent.
11. Thornton will not return SOQ's, or other information supplied to Thornton, to the Respondents.
12. Thornton reserves the right to require the submission of additional information, clarification of information, or other information that may have been inadvertently omitted from the submission upon request.
13. Prequalifying a Respondent shall not deprive Thornton of the right to reject any SOQ's where other circumstances and developments have, in the opinion of Thornton, changed the qualifications or responsibility of the Respondent.
14. The Respondent understands and agrees, that Thornton reserves the right to reject any or all SOQ's, to request additional information, to waive irregularities therein determining a Respondent's qualifications, and to qualify Respondents that it deems are in the best interest of Thornton. All Respondents submitting SOQ's shall agree that such rejection or decision shall be without liability on the part of Thornton for any damage or claim brought by any Respondent because of such rejections or decisions, nor shall the Respondent seek any recourse of any kind against Thornton, its officers, employees, agents, or its consulting engineer(s) because of such rejections or decisions. The signing of the prequalification document shall constitute an agreement of the Respondent to these conditions.

15. As referenced in the required Appendix E Acceptance of Conditions Statement, Section 7.4 of the Thornton City Charter prohibits Thornton from entering into any contract involving an amount in excess of one hundred dollars (\$100) in which an elective or appointive officer or any member of the officer's family has any pecuniary interest, direct or indirect, in the Respondent or this RFQ. Certain other restrictions may also apply to contracts in which an employee, member of a board or commission, City Council member or member of their family has an existing or pending financial or personal interest. For the purposes of this Charter Section, a domestic partner shall be considered a family member.
16. By submission of the Qualification Affidavit, bank letter of reference, and the bonding company letter required herein, the Respondent certifies that it has adequate financial capacity to perform the anticipated Work. The Respondent shall not submit proprietary financial information such as financial statements, depreciation statements, or balance sheets.

Non-compliance with one (1) or more of the above requirements is grounds for disqualification at Thornton's sole discretion.

## **SECTION VI – EVALUATION OF SOQ's**

All SOQ's will be evaluated by a Selection Committee assigned by the City Manager, or his designee. SOQ's shall be evaluated on the basis of the Evaluation Criteria set forth herein. In addition, any other pertinent information which becomes available during the evaluation, interview, reference checks, or negotiations may be considered in the evaluation. Thornton's intent is to prequalify all qualified Respondents.

**Thornton's Selection Committee shall have sole authority to review, evaluate, and determine the Contractor's qualifications using the below selection criteria as well as any other relevant criteria that may become available. The Selection Committee may decide a Contractor is qualified or not qualified based on any one factor, and/or on multiple factors at its sole discretion. The criteria is not weighted for importance, but will be individually evaluated as to importance, relevance, and acceptability.**

## **SECTION VII – EVALUATION CRITERIA**

In determining a Respondent's qualifications, the following factors will be considered:

1. Whether the Respondent maintains a permanent place of business in Colorado, or can demonstrate its ability to establish and maintain a place of business away from its established business location(s), and can demonstrate experience in successfully doing so on several similar projects, and if not located in Colorado, can demonstrate through past projects and references, that they are responsive to communications, including defective items and warranty work;

2. Equipment and resources available to perform the Work properly and expeditiously within the time available;
3. Financial resources to meet obligations incidental to the Work;
4. The Respondent's historic record of successful project completion, with minimal interference to the public or of public complaints, as demonstrated through references;
5. Appropriate technical past experience of the Respondent, and the Respondent's key-personnel (resumes of key-personnel detailing similar experience on other projects);
6. The Respondent's safety program and safety record on completed and ongoing projects over the past three (3) years. Criteria will be evaluated as follows:
  - a. Experience Modification Rating (EMR) for each of the past three (3) years. Contractor's three (3) year average EMR should be no greater than 1.0. If a Contractor's three (3) year average EMR is greater than 1.0 but less than 1.2, it is subject to Committee review (which may lead to possible disqualification) and Thornton may ask Contractor to submit additional information about its safety program to the Selection Committee to help assess eligibility.\* Any three (3) year average EMR greater than 1.2 is grounds for disqualification without further review;
  - b. Total Recordable Incident Rates (TRIR); (will be evaluated on a case by case basis).
  - c. Days Away Restricted Time (DART); (will be evaluated on a case by case basis).
  - d. Company fatalities within the last three (3) years (will be evaluated on a case by case basis).

**\*Note: Contractor should be prepared to provide additional documentation including, but not limited to, a thorough description of accidents, OSHA 300 logs, and letter(s) from insurance carrier, if Thornton notifies Contractor there is a concern about any rating related to its safety program.**

7. No Respondent in arrears on any obligation to Thornton or to any other public owner;
8. Pending or completed relevant legal actions against the Respondent that, in Thornton's opinion, could impact the company's ability to complete this Project;
9. Historical record working/dealing with several governmental, multi-jurisdictional permitting agencies for a single project;

10. Successful completion of at least three (3) projects over five hundred thousand dollars (\$500,000) that are **similar in scope and size to the Project**. Project must have been completed in the last five (5) years.
11. Qualifying projects must have demonstrated the existence of a successful relationship with owner agencies as determined by references;
12. Qualifying Respondents shall provide information on the disciplines and/or types of construction that they would generally self-perform if awarded a project;
13. Respondents' surety or sureties must be listed in the Federal Circular 570 and must be approved by the City of Thornton (Thornton). In no case will sureties with less than an A.M. Best's A rating be approved.
14. Respondents ability to demonstrate that their staffing plan and personnel procurement, workforce development and training, current hourly rates of pay, and employee benefits shall be within a normal and acceptable range for the industry and the local community:
  - a. Respondents are responsible for demonstrating that the combination of current pay roll wages and benefits provided to employees meets or exceeds the market standards for the local community, or, Contractor must certify that hourly wages meet or exceed the applicable Adams County Davis Bacon Wage Determination. Alternatively, Thornton will review hourly pay ranges for key positions within the Contractor's field organizational structure. Wages for salaried management personnel do not need to be provided.
  - b. The Selection Committee will review and evaluate combined hourly wage rates and benefits and compare those against other Respondents and against other wage information as it deems applicable and/or appropriate at its sole discretion.
  - c. The Selection Committee has the right to request clarifying information and/or actual payroll documentation to verify the accuracy of the submitted information. Respondents could be disqualified if it is determined that the pay ranges are not accurate based on actual payroll information provided.
15. Respondent's eligibility will be based on the evaluation of all factors listed above as well as the following:
  - a. Respondent's previous performance on work for Thornton or other municipal or quasi-municipal owners;
  - b. Overall experience of the principal Respondent;
  - c. The experience of the key personnel;
  - d. References obtained from owners of similar projects;

- e. Financial condition of the Respondent;
- f. Bonding capacity and insurance coverage of the Respondent;
- g. Dispute/litigation and claim history; and
- h. Information listed in Appendix A.

## SECTION VIII – INSTRUCTIONS

SOQ submittals shall include:

1. Any Respondent that wishes to be prequalified is required to complete and submit:

- **Hard Copy Submission:**
  - One (1) Paper hard copy;
  - One (1) thumb drive with SOQ; and
  - Litigation and claims in separate file.

**The litigation and claim information shall each be contained in separate sealed envelopes marked, respectively, on the outside “Confidential Litigation and Claim Information”, and this envelope shall be placed inside the Statement of Qualification submittal envelope.**

2. A cover letter shall state the name, address, email, and telephone number of the Respondent submitting the SOQ, and shall bear the signature of the person having the authority to agree to the terms of the SOQ for the Respondent and bind the Respondent in a formal Agreement with Owner if selected for Project award.
3. The Statement of Qualifications Form, Appendix A, shall be completed in full by typing or legible hand lettering in black or blue ink. All sections (including instructions and forms) included in this document shall be submitted. Where space provided for responses is inadequate, supplement with additional referenced attachments as necessary.
4. Completed Appendix B – Respondent’s Qualification Affidavit.
5. Completed Appendix C – Reference Authorization and Release Form.
6. Completed Appendix E – Acceptance of Conditions Statement.
7. Completed Appendix F – Respondent’s Certification Affidavit.
8. Any other information deemed necessary by the Respondent.



## APPENDIX A – STATEMENT OF QUALIFICATIONS FORM

Please consider my request to be prequalified in response to **Notice of Request for Contractor Qualifications, GROUNDWATER RECHARGE FACILITIES PROJECT NO. 21-51.**

Use additional sheets wherever necessary.

**Full Legal Name of Respondent:** \_\_\_\_\_

**Contact Name:** \_\_\_\_\_

**Respondent Address:** \_\_\_\_\_

**Phone Number:** \_\_\_\_\_

**E-mail(s) where all correspondence and requests for Bids will be sent.**

**Contact e-mail:** \_\_\_\_\_

**Contact e-mail:** \_\_\_\_\_

**Contact e-mail:** \_\_\_\_\_

1. How many years has your organization been in business as a General Contractor under the current business name? \_\_\_\_\_

2. How many years has your organization been in business under other business name(s)? \_\_\_\_\_ List other names: \_\_\_\_\_

3. If a corporation, answer the following:

Date of incorporation: \_\_\_\_\_

State of incorporation: \_\_\_\_\_

President: \_\_\_\_\_

Vice-President: \_\_\_\_\_

Secretary: \_\_\_\_\_

Treasurer: \_\_\_\_\_

4. If a partnership, answer the following:

Date of organization: \_\_\_\_\_

Type of partnership: \_\_\_\_\_

(General/Limited/Assoc)

Name and address of all partners: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. If other than a corporation or partnership, describe the organization form and provide the name and address of all principals: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. List the trades and the percent of the work you normally perform with your own forces:

_____	_____	%
_____	_____	%
_____	_____	%
_____	_____	%
_____	_____	%

7. Have you ever failed to complete any work awarded to you? \_\_\_\_\_ If so, indicate when, where, and why below. Have you ever been declared in default on a contract? If "yes," indicate when, where, and why below.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. Has any director, officer, or partner of the Respondent ever been a director, officer, or partner of another organization that failed to complete a construction contract? \_\_\_\_\_ If "yes," state circumstances below.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. Have you ever failed to be awarded a contract on which you were the low Respondent? \_\_\_\_\_ If "yes," state when, where, and why below.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. Has the Respondent in the past two (2) years, or is the Respondent at the present time, late in the completion of any projects for a government agency? \_\_\_\_\_

If "yes," list all applicable projects and state when, where and why below.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. Liquidated Damages and/or disputes: List all government or agency projects in the last three (3) years where Liquidated Damages were or may be assessed, and where substantial disputes on projects occurred or are currently occurring. Attach a detailed explanation, using an additional sheet if necessary.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

12. Has the Respondent's bonding company been contacted in the past two (2) years concerning either the late completion of a project or the non-payment of subcontractors or suppliers? \_\_\_\_\_ If "yes," please explain the circumstances in detail.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

13. List all major construction projects the Respondent currently has under contract in Colorado on this date. Include the following information for each project listed:

Project Name \_\_\_\_\_  
Owner \_\_\_\_\_ Phone Number \_\_\_\_\_  
Architect/Engineer \_\_\_\_\_ Phone Number \_\_\_\_\_  
Contract Amount \_\_\_\_\_ Contract Date \_\_\_\_\_  
Percent Complete \_\_\_\_\_ Original Scheduled Completion Date \_\_\_\_\_  
Change Order Amount to Date \_\_\_\_\_ Current Scheduled Completion Date \_\_\_\_\_

May list projects under separate cover

14. List major construction projects (**similar to the Groundwater Recharge Project**) that the Respondent has completed in Colorado in the past five (5) years. Must include projects with a contract value equal to or exceeding, five hundred thousand dollars (\$500,000). Respondent must have a significant, recent, similar, experience to be considered qualified as described in Section I. Include the following information for each project listed:

**Three (3) representative Projects must be submitted:**

No.1 Project Name \_\_\_\_\_  
Owner \_\_\_\_\_ Phone Number \_\_\_\_\_  
Architect/Engineer \_\_\_\_\_ Phone Number \_\_\_\_\_  
Original Contract Amount \_\_\_\_\_ Final Contract Amount \_\_\_\_\_  
No. of Change Orders \_\_\_\_\_ Contract Date \_\_\_\_\_  
Original Completion Date \_\_\_\_\_ Actual Completion Date \_\_\_\_\_  
Dollar value of work broken out by this category of work \_\_\_\_\_  
Description of the work performed under this category of work:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No. 2 Project Name \_\_\_\_\_  
Owner \_\_\_\_\_ Phone Number \_\_\_\_\_  
Architect/Engineer \_\_\_\_\_ Phone Number \_\_\_\_\_  
Original Contract Amount \_\_\_\_\_ Final Contract Amount \_\_\_\_\_  
No. of Change Orders \_\_\_\_\_ Contract Date \_\_\_\_\_  
Original Completion Date \_\_\_\_\_ Actual Completion Date \_\_\_\_\_  
Dollar value of work broken out by this category of work \_\_\_\_\_  
Description of the work performed under this category of work:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

No. 3 Project Name \_\_\_\_\_  
Owner \_\_\_\_\_ Phone Number \_\_\_\_\_  
Architect/Engineer \_\_\_\_\_ Phone Number \_\_\_\_\_  
Original Contract Amount \_\_\_\_\_ Final Contract Amount \_\_\_\_\_  
No. of Change Orders \_\_\_\_\_ Contract Date \_\_\_\_\_  
Original Completion Date \_\_\_\_\_ Actual Completion Date \_\_\_\_\_  
Dollar value of work broken out by this category of work \_\_\_\_\_  
Description of the work performed under this category of work  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

15. Capacity and Capability to perform the Work.

a. Resources:

(1) Total number of current employees in the following positions:

Project Managers: \_\_\_\_\_ Estimators: \_\_\_\_\_  
 Superintendents: \_\_\_\_\_ Foremen: \_\_\_\_\_  
 Tradesmen: \_\_\_\_\_ Administration: \_\_\_\_\_  
 Others: \_\_\_\_\_

(2) Does the Respondent have the immediate capacity to perform the Work required for Projects seeking prequalification on?

Yes

No

16. List key subcontractors and suppliers likely to provide services and/or materials on the Contract:

<u>Subcontractor/Supplier</u>	<u>Service/Materials</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

17. Safety record.

a. Provide the Respondent's incidence rate of not-fatal occupational injuries and illnesses per one hundred (100) full time workers (Total Recordable Incident Rates or TRIR rate) as defined by the Bureau of Labor Statistics Table 1 over the prior three (3) year period, and the three (3) year average rate. Refer to <http://www.bis.gov/iif/oshsum.htm>. **(If you do not have complete 2020 numbers yet, use the most current three year period that you have):**

2019 - \_\_\_\_\_  
 2020 - \_\_\_\_\_  
 2021 - \_\_\_\_\_  
 Three (3) year average - \_\_\_\_\_

- b. Provide the Respondent's Workers' Compensation Experience Modification Rate Factor (EMRF) for the prior three (3) years, by year, and the three-year average, from the National Council on Compensation Insurance, Inc. (NCCI, [www.ncci.com](http://www.ncci.com)).

2019 - \_\_\_\_\_  
2020 - \_\_\_\_\_  
2021 - \_\_\_\_\_  
Three (3) year average - \_\_\_\_\_

- c. Indicate the number of fatal accidents that occurred on any of the Respondent's projects in the last three (3) year period. Describe circumstances and whether any corrective action was required or if any fines were levied by OSHA or other governmental agency. Fatal accidents Yes \_\_\_ No \_\_\_ If yes, how many \_\_\_

**If yes, submit complete documentation in an attachment.**

- d. Indicate your company's Days Away Restricted Time (DART) rate for the last three (3) year period, and the three (3) year average.

2019 - \_\_\_\_\_  
2020 - \_\_\_\_\_  
2021 - \_\_\_\_\_  
Three (3) year average - \_\_\_\_\_

- e. Provide a narrative describing the Respondent's safety program including frequency of inspections and roles and responsibilities among Respondent's personnel.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

18. Bank References

- a. Provide a letter of reference from the Respondent's primary operating bank.  
**Bank Letter attached: Yes** \_\_\_\_

19. Insurance Company:

- a. Provide certificate(s) of insurance outlining coverage and policy limits or higher as shown in Appendix D.  
**Insurance Certificate attached: Yes** \_\_\_\_

**In a separate sealed envelope or electric file** labeled with the Project name and number, the Respondent's name, the date submitted, and marked "CONFIDENTIAL – CLAIM AND LITIGATION RECORD", provide the following:

- a. A list of the projects, along with address and telephone number of the owner, to which the Respondent or any of the Respondent's directors, partners, or officers were party in their role as director, partner, or officer of the Respondent, during the previous ten (10) years, if such projects were the subject of formal arbitration or litigation of any type. If the dispute resulted in a confidential settlement agreement, the names of the parties involved may be redacted, but the project must be listed.
- b. Indicate if any judgments have been entered against the Respondent or against any of the Respondent's directors, partners, or officers within the last five (5) years. If so, provide a list of Judgment Creditors, where docketed and date, and amount, for each. Indicate if any of the judgments included an award of attorneys' fees as a sanction. If yes, explain why.
- c. A list of current lawsuits that are pending at this time against the Respondent, or against any of the directors, partners, or officers of the Respondent. Indicate the Parties and summarize the nature of the dispute.

**Claim and Litigation Record attached: Yes** \_\_\_\_

- 20. Was the Respondent or any of its directors, partners, or officers ever suspended, debarred, or determined to be ineligible from entering into Contracts with any federal, state, or local governmental entity? \_\_\_\_\_ If "yes," give details:

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21. Provide information on the following:

a. Respondent's workforce development and training.

Submit a description and or documentation of your work force development and training policy/plan.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

b. Respondent's staffing plan and personnel procurement plan.

Submit a description and or documentation of your staffing plan and personnel procurement policy/plan.

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

22. Provide information which demonstrates that the following areas of emphases are within the normal and acceptable range for the industry and the local community:

a. Respondent's employee benefits.

**Indicate which benefits the Respondent currently provides to your employees. Check all that apply:**

Heath Care	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Paid time off (PTO), Vacation, Sick Leave	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Retirement/Investment Program (IRA/401k)	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

b. Respondent's hourly rates of pay.

**Indicate if your company currently pays equal to or greater than the following employee hourly rate benchmark, indicate Yes or No:**

Current Adam's County Davis Bacon wage determination (Highway):

Yes  No

**If No, please provide the following hourly rates of pay (do not include fringe benefits):**



**Foreman:**

At the lead level, assists in supervising and coordinating activities of construction workers engaged in various phases of construction.

Highest paid \$ \_\_\_\_\_  
Lowest Paid \$ \_\_\_\_\_  
Average \$ \_\_\_\_\_

**Heavy Equipment Operator:**

Includes: Track hoes, loaders, back hoes, etc.

Highest paid \$ \_\_\_\_\_  
Lowest Paid \$ \_\_\_\_\_  
Average \$ \_\_\_\_\_

**Small Equipment Operator:**

Includes: Rubber tire backhoes, skid steers, etc.

Highest paid \$ \_\_\_\_\_  
Lowest Paid \$ \_\_\_\_\_  
Average \$ \_\_\_\_\_

**Truck Driver:**

Includes: Lowboys, tractor trailer, dump trucks, etc.

Highest paid \$ \_\_\_\_\_  
Lowest Paid \$ \_\_\_\_\_  
Average \$ \_\_\_\_\_

**General Laborer:**

Includes: General unskilled labor, etc.

Highest paid \$ \_\_\_\_\_  
Lowest Paid \$ \_\_\_\_\_  
Average \$ \_\_\_\_\_

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## **APPENDIX C – REFERENCE AUTHORIZATION AND RELEASE FORM**

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### **REFERENCE AUTHORIZATION AND RELEASE FORM**

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

To: <leave blank>

From: \_\_\_\_\_ (A Corporation, Partnership, Sole Proprietor) whose address is  
\_\_\_\_\_  
\_\_\_\_\_(Respondent).

Respondent has submitted qualifications to the City of Thornton (Thornton) in response to the **Notice of Request for Contractor Qualifications, Groundwater Recharge Facilities, Project No. 21-51.**

Respondent hereby authorizes Thornton to perform such investigation of Respondent as it deems necessary to verify the qualifications, responsibility, trustworthiness and financial ability of Respondent. By its signature hereon, the Respondent authorizes Thornton to obtain reference information concerning the Respondent. Respondent further agrees to release and hold Thornton and the firm or agency providing reference information harmless from all liability resulting from providing the requested reference information to Thornton about the Respondent.

Respondent further authorizes Thornton to discuss and release reference information regarding Respondent's performance as it will relate to any Projects associated with this prequalification upon receiving a request for such information. Respondent agrees to release and hold Thornton harmless from all liability associated with releasing such information about Respondent.

Respondent further waives its right to receive copies of reference information provided to Thornton. By signing below, Respondent agrees with the terms of this Reference Authorization and Release and authorizes Thornton to obtain reference information concerning Respondent.

A copy or facsimile of this executed Reference Authorization and Release Form may be used with the same effectiveness as an original.

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

Signature

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

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## APPENDIX D – (EXAMPLE) GENERAL CITY OF THORNTON TYPICAL INSURANCE REQUIREMENTS

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### INSURANCE

A. The Respondent agrees to procure and maintain in force during the term of this Contract, at its own cost, the following coverages:

1. Workers' Compensation Insurance as required by the Labor Code of the State of Colorado and Employer's Liability Insurance. Evidence of qualified self-insured status may be substituted.
2. Commercial General Liability Insurance (**MINIMUM LIMITS**)
 

(a) Each Occurrence	\$1,000,000.00
(b) Products/Completed Operations Aggregate	\$1,000,000.00
(c) Personal and Advertising Injury	\$1,000,000.00
(d) General Aggregate	\$2,000,000.00

The policy shall include coverage protecting against bodily injury, property damage, and personal injury claims arising from the exposures of (1) premises-operations; (2) products and completed operations including materials designed, furnished and/or modified in any way by Respondent; (3) independent subcontractors; (4) contractual liability risk covering the indemnity obligations set forth in this Contract; and (5) where applicable, liability resulting from explosion, collapse, or underground exposures.

If the above insurance is written on a claims-made form, it shall continue for three (3) years following termination or completion of the Contract. The insurance shall provide for a retroactive date of placement prior to or coinciding with the effective date of the Contract.

3. Umbrella policy for the Commercial General Liability Insurance with limits of not less than two million dollars (\$2,000,000).
4. Automobile Liability Insurance with minimum combined single limits for bodily injury and property damage of not less than one million dollars (\$1,000,000) for any one (1) occurrence. This insurance will insure against bodily injury and/or property damage arising out of the Respondent's operation, maintenance, use, loading or unloading of any auto including owned, non-owned, hired and employee autos.

5. Other insurance, with varying limits, which from time to time, may reasonably be required by the mutual agreement of Thornton and Respondent against other insurable hazards relating to the Work to be done, shall be provided.
- B. Respondent shall procure and maintain the minimum insurance coverages listed herein. Such coverages shall be procured and maintained with forms and insurers acceptable to Thornton. All coverages shall be continuously maintained to cover all liability, claims, demands, and other obligations assumed by the Respondent. If the above insurance is written on a claims-made form, it shall continue for three (3) years following termination or completion of the Contract. The insurance shall provide for a retroactive date of placement prior to or coinciding with the effective date of the Contract.
  - C. Respondent shall cause any subcontractor to procure and maintain adequate levels of insurance coverage for Workers' Compensation, Commercial General Liability, Automobile Liability, and other coverages Respondent may require. Respondent shall prepare a schedule of required coverages for each of its subcontractors and shall submit such schedule to Thornton prior to any subcontractor commencing any Work under the Contract. Such coverages for any subcontractors shall be procured and maintained with forms and insurers acceptable to Thornton. All coverages shall be continuously maintained to cover all liability, claims, demands, and other obligations assumed by the Respondent.
  - D. The Respondent shall name Thornton, its officers, agents, and employees as additional insureds for completed operations with respect to the Commercial General Liability and Auto Liability coverages above. A Certificate of Insurance shall be completed and forwarded, along with the Additional Insured Endorsements, to Thornton by the Respondent's Insurance Agent(s) as evidence that policies providing the required coverages, conditions, and minimum limits are in full force and effect and shall be subject to review and approval by Thornton **prior to commencement of any Work under this Contract.** The initial completed Certificate(s) of Insurance and Additional Insured Endorsement(s) shall include the Respondent's e-mail address for future inquiries and updates, and shall be sent to:

City of Thornton  
Patrick Hinterberger, Senior Contracts Administrator  
9500 Civic Center Drive  
Thornton, CO 80229-4326

Subsequent Certificates of Insurance indicating renewal of coverage(s) shall be sent to Thornton's Risk Manager at [certificatesofinsurance@ThorntonCO.gov](mailto:certificatesofinsurance@ThorntonCO.gov) no later than thirty (30) Calendar Days prior to the expiration date. Indicate "Renewal COI" and the Project Number in the e-mail subject line.



- E. Failure on the part of the Respondent or a subcontractor to procure or maintain policies providing the required coverages, terms, conditions, and minimum limits shall constitute a material breach of Contract upon which Thornton may immediately terminate the Contract. At its discretion, Thornton may procure or renew any such policy or any extended reporting period, and may pay any and all premiums in connection therewith, and all monies paid by Thornton shall be repaid by Respondent to Thornton upon demand, or Thornton may offset the cost of the premiums against any monies due or to become due to Respondent from Thornton. In addition to the foregoing, in the event any coverage required by the Contract expires or is cancelled during the term of the Contract, the Respondent shall be required, without further notice from Thornton, to suspend the Work at 12:00 a.m., on the date of insurance expiration or cancellation, and may not resume Work until the required insurance coverage is obtained and evidence of such coverage is submitted to and approved in writing by Thornton. The Respondent shall not be entitled to any compensation therefor, including compensation for delay. The Contract Time shall continue to run during such suspension period and the Respondent shall remain fully responsible for any Liquidated Damages that are assessed as a result of late performance. During such suspension of Work the Respondent remains responsible for all safety and protection of persons and property under the Contract.
- F. Thornton reserves the right to request and receive a certified copy of any policy and any endorsement thereto. Respondent agrees to execute any and all documents necessary to allow Thornton access to any and all insurance policies and endorsements pertaining to the Work.
- G. Every policy required above shall be primary insurance, and any insurance carried by Thornton, its agents, officers, or employees shall be excess and not contributory insurance to that provided by the Respondent. The Respondent shall be solely responsible for any deductible losses under the required policies and such deductible losses shall not be billed to Thornton.
- H. The Respondent shall not be relieved of any liability, claims, demands or other obligations assumed pursuant to the Contract by reason of its failure to procure and maintain insurance, or by reason of its failure to procure or maintain insurance in sufficient amounts, durations or types.
- I. The Parties understand and agree that Thornton, its agents, officers, and employees, are relying on, and do not waive or intend to waive by any provision of this Contract, the monetary limitations or any other rights, immunities, and protections provided by the Colorado Governmental Immunity Act, C.R.S. 24-10-101 et seq., as may be amended, or otherwise available to Thornton, its agents, officers, or employees.
- J. The Respondent shall provide Products and Completed Operations Liability Insurance and name Thornton as an additional insured for a minimum of one (1) year after the date of Final Acceptance. The Respondent shall continue to provide evidence of such coverage by submission of a Certificate of Insurance to Thornton

no later than thirty (30) Calendar Days prior to the scheduled expiration of such coverage. Additional Insured endorsements shall indicate applicable Products and Completed Operations coverage.

- K. All policies shall include a provision that the coverages afforded under the policies shall not be canceled, terminated, or materially changed prior to the natural termination date until at least thirty (30) Calendar Days prior written notice has been sent to Thornton. The Certificate(s) shall indicate the form used, if any, under which this provision is included.

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**APPENDIX E – ACCEPTANCE OF CONDITIONS STATEMENT**

A. Respondent indicates acceptance of the following conditions:

1. City of Thornton Charter Section 7.4 prohibits Thornton from making Contracts with Respondents which employ certain relatives of Thornton employees unless the City Council determines that the making of such a Contract is in Thornton's best interest.

No City Council member, member of a board or commission, Municipal Judge, City Manager, City Attorney, or employee of the City of Thornton, or any such person's family member, domestic partner, or person assuming a relationship being the substantial equivalent of the above, has an existing or pending, direct or indirect, financial, pecuniary or personal interest in the Respondent or this Request for SOQ, except as follows (list, if any, or if none so state): \_\_\_\_\_

2. I/we hereby agree to all instructions, terms and conditions, and specifications contained herein.

B. I/we acknowledge the following addenda (list, if any, or if none so state):

Respondent is responsible to check for all issued addenda prior to submitting this form.

**Addenda Number(s) and Date(s):** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

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

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

\_\_\_\_\_

Telephone Number: \_\_\_\_\_

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

(Signature)

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

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

Attest (by officer if corporation) or Notary (if individual): \_\_\_\_\_

My Commission Expires (if notarized): \_\_\_\_\_

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**V. INITIAL PROJECT PLANS AND SPECIFICATIONS  
(UNDER SEPARATE COVER)**

**Certificate Of Completion**

Envelope Id: 092138713FDE4E0AB50E84BDF23F424D	Status: Completed
Subject: Complete with DocuSign: 21-51 RFQ 10-10-22.pdf	
Source Envelope:	
Document Pages: 39	Signatures: 1
Certificate Pages: 1	Initials: 0
AutoNav: Enabled	Envelope Originator:
Envelope Stamping: Enabled	Patrick Hinterberger
Time Zone: (UTC-07:00) Mountain Time (US & Canada)	9500 Civic Center Drive
	Thornton, CO 80229
	Patrick.Hinterberger@ThorntonCO.gov
	IP Address: 199.117.212.4


**Record Tracking**

Status: Original	Holder: Patrick Hinterberger	Location: DocuSign
10/10/2022 10:55:38 AM	Patrick.Hinterberger@ThorntonCO.gov	

**Signer Events**

Jim Jensen  
 jim.jensen@thorntonco.gov  
 Contracts Supervisor  
 City of Thornton  
 Security Level: Email, Account Authentication (None)

**Signature**

DocuSigned by:  
  
 E057D2786399405...  
 Signature Adoption: Pre-selected Style  
 Using IP Address: 199.117.212.4

**Timestamp**

Sent: 10/10/2022 10:56:15 AM  
 Viewed: 10/10/2022 11:04:58 AM  
 Signed: 10/10/2022 11:05:40 AM

**Electronic Record and Signature Disclosure:**  
 Not Offered via DocuSign

In Person Signer Events	Signature	Timestamp
Editor Delivery Events	Status	Timestamp
Agent Delivery Events	Status	Timestamp
Intermediary Delivery Events	Status	Timestamp
Certified Delivery Events	Status	Timestamp
Carbon Copy Events	Status	Timestamp
Witness Events	Signature	Timestamp
Notary Events	Signature	Timestamp
Envelope Summary Events	Status	Timestamps
Envelope Sent	Hashed/Encrypted	10/10/2022 10:56:15 AM
Certified Delivered	Security Checked	10/10/2022 11:04:58 AM
Signing Complete	Security Checked	10/10/2022 11:05:40 AM
Completed	Security Checked	10/10/2022 11:05:40 AM
Payment Events	Status	Timestamps