

EXHIBIT B - SCOPE OF WORK From CONTRACTOR'S TECHNICAL PROPOSAL

The following sections from Contractor's Part 1-Technical Proposal are included here as Scope of Work

Tab A – Project Understanding

Tab B – Project Approach and preliminary schedule

Tab C – Project Cost Reduction Opportunities

Tab D – Contractor's Minimum Qualifications and Certifications (Including Attachments 1, 2, 3, 4)

Tab E – Project Team Qualifications and Experience (Except Attachments 5 and 6)

Tab F – Subcontractor List and Assurance of Designated Project Team (Including Attachments 7 and 8)

Tab H – Safety Program and Record (Includes only Attachment 9 for Auburn Constructors, Gateway Pacific, and DN Tanks. Full Safety Program submitted separately)

Tab I – Quality Control Program (Full Quality Control Program submitted separately)

Tab J – Other Required Statements/Documents (Includes Attachment 10, 11, 13, 14, 19)

Tab K – Exceptions

Tab L – Appendix to Part 1 (Includes Signed Addenda 1, 2, and 3 Only)

END OF EXHIBIT B



WEST SIDE TANKS AND PUMP STATION PROJECT

SCOPE OF WORK

Auburn Constructors, LLC

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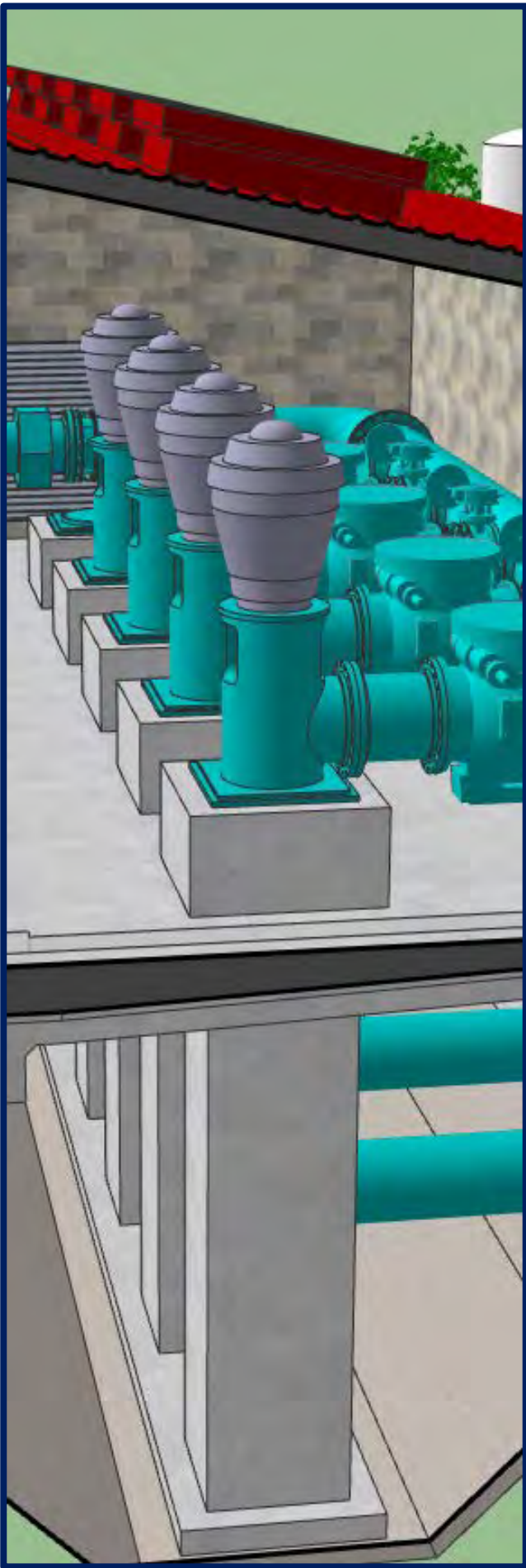
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TAB A



PROJECT UNDERSTANDING

PROJECT UNDERSTANDING

INTRODUCTION

The City of Roseville (City) has issued a Request for Proposal (RFP) for the West Side Tanks and Pump Station Project. For this capital improvement project, the City intends to utilize the Design-Assist Guaranteed Maximum Price (GMP) with shared savings contract delivery method. This method will effectively make the selected contractor a vital member of the project team, alongside the City and Water Works Engineers - who has been retained for engineering, design, and construction management services.

The Design-Assist GMP method benefits the City immensely as it allows for a qualifications-based bidding approach and provides for early contractor engagement and collaboration. Through collaboration, this method fosters cost appropriate approaches to the work and promotes constructability opportunities. Through this proposal, we intend to show that AUBURN is the best qualified, most prepared, and highly collaborative candidate to join the Design-Assist Team.

PROJECT OVERVIEW

The West Side Tanks and Pump Station Project has been in process since 2005 and was conceived to provide potable water storage and pumping capacity to new developments on the west side of the City's service area. The project was shelved for years due to the economic recession of 2008 but is now ready for construction.



Figure 1: View of a pre-stressed concrete water storage tank, with encased pump cans in the foreground, under construction at the West Hills Water Treatment Plant in Hollister, CA. Auburn Constructors was the prime contractor on this \$27.8M contract.

The West Side Tanks and Pump Station Project is comprised of the following major items of work:

1. Water Storage Tanks: Additional potable water storage is accomplished by the construction of two 6.0 MG pre-stressed concrete water storage tanks. Tank footings will require over excavation and installation of mechanical stabilized earth (MSE) foundation system. Foundation work will also involve the installation of a leak detection system with PVC liner and perforated piping.
2. Booster Pump Station: Additional pumping capacity is achieved through the installation of four vertical turbine booster pumps, which are housed inside a CMU block building along with a chemical distribution system and associated electrical equipment. Outside features include architectural canopies, valve vault for pump isolation valves, and a hydropneumatic tank to help regulate system pressure.

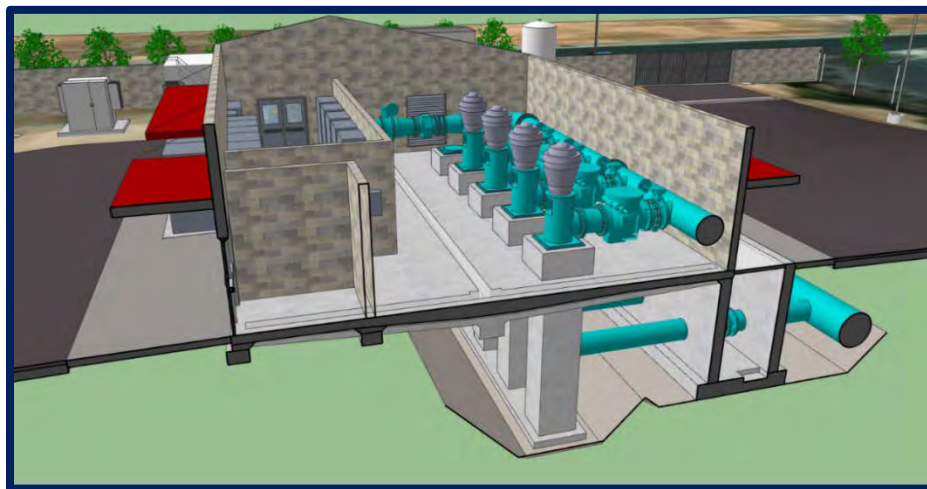


Figure 2: Isometric section view of the booster pump station building. AUBURN utilizes 3D modeling techniques to collaborate with the project team to refine work plans, discover conflicts before they happen, and provide better perspective on upcoming work. AUBURN personnel will bring this same competency to the Design-Assist team.

3. Tank Valve Vault: The City has made it clear that they are not in favor of direct buried valves on the site. A cast-in-place concrete valve vault will be constructed to house valves on the suction and discharge lines running between the tanks and booster pump station.
4. Electrical: The site will feature a standby diesel generator, fuel tank, and load bank. The pump station will feature variable frequency drives and reduced voltage soft starters, along with other associated electrical, control, and security equipment. Installation of electric service to site including transformer will be required.
5. Instrumentation and Controls: Installation of hardware, instrumentation, and I&C infrastructure will be by the Contractor while programming will be provided by the City.
6. Miscellaneous Site Work: Notable sitework items include sewer, storm drain, and potable water tie-ins; below and above ground yard piping and electrical; design and install of cathodic protection system; site paving and landscaping; construction of lined bioretention basins; and CMU block wall and chain link fence installation.

7. Project Management and Administration: Not only will the Contractor act in a project management role, maintaining schedule and contract correspondence, but they will also participate in a cooperative partnership with the City and Engineer to collaborate on major project challenges, risk mitigation, and constructability opportunities. The Contractor will contribute in up to eight Final Design Coordination Meetings with the Design-Assist Team.

AUBURN'S APPROACH

AUBURN's goal is to deliver the West Side Tanks and Booster Pump Station project to the City before its expected completion date for a lower cost than budgeted. Throughout the project, our experienced managers will collaborate with the City, Engineer, Subcontractors and Suppliers to blend form and function with budget and time. We pay attention to every detail in order to deliver a quality project as cost-effectively as possible. Likewise, our highly skilled field staff will self-perform installation of underground and aboveground utilities, structural concrete, site electrical, and mechanical equipment.

AUBURN will partner with Gateway Pacific Contractors (GATEWAY) to construct the two pre-stressed concrete storage tanks. GATEWAY is locally owned and operated and employs one of the most capable self-performing capacities of any general contractor in California who specializes in tank construction. AUBURN and GATEWAY have a history of successful partnerships on projects, several of which were performed directly for the City of Roseville. Three major advantages that the AUBURN-GATEWAY partnership will bring to the West Side Tanks and Booster Pump Station project include the following:

1. Both AUBURN and GATEWAY are locally owned and operated with 100% of our workforce living in the Sacramento region. Our personnel are invested in the local community and economy. We are readily available for this project, located in our backyard.
2. AUBURN maintains an in-house Electrical Division, which is an integral member of the contracting team for all municipal projects we pursue. This not only helps us to keep our costs low, but also reduces coordination and scheduling issues.
3. GATEWAY has successfully constructed the last five (5) prestressed tanks that were built for the City of Roseville. We hope to build upon this history of successful partnering by serving the City once again to construct the West Side Tanks.

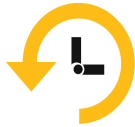
NAME	DESCRIPTION	FINAL CONTRACT AMOUNT	ADDRESS	SUPT.	START	END
Roseville Water Treatment Plant	4MG reservoir with interior walls	2,791,597	9595 Barton Road Granite Bay, CA 95746	Gary Heim	August-90	November-91
10MG Water Storage Tank	Construct 10MG circular, prestressed concrete tank	4,451,281	Guilford Way @ Scarborough Dr. Roseville, CA 95678	Gary Heim	June-98	April-00
Water Reservoir	Construction of a new 6MG filter effluent reservoir	6,193,045	9595 Barton Road Granite Bay, CA 95746	Gene Gregory	June-03	April-05
Stoneridge Joint Use Water Storage Facility	Construct a 3MG prestressed concrete reservoir	4,196,375	3332 Halverson Drive Roseville, CA 95661	Gary Heim	May-08	July-09
Northeast Water Storage Reservoir Replacement	Replace 6MG concrete reservoir with 7.2MG prestressed concrete reservoir	5,207,198	Guilford Way @ Scarborough Dr. Roseville, CA 95678	Gary Heim	October-08	June-10

Figure 3: Details of the last five (5) prestressed concrete tanks built for the City by GATEWAY and DN TANKS. One of the same superintendents listed here is our proposed Tank Construction Superintendent.

ACHIEVING THE CITY'S GOALS



Best Value - A detailed GMP cost proposal has been developed for this Project. Along with an accurate budget, AUBURN will provide weekly updates to ensure opportunities are recognized, and any problems that need to be remedied are done so in a timely manner. This open book approach will give the City confidence that every dollar is being allocated efficiently.



Schedule - A detailed project schedule has been developed for this project which highlights the level of attention we put into every project we construct. In addition to all critical items being recognized at the onset, AUBURN will provide monthly progress reports summarizing activities performed during the reporting period, identify activities planned for the next reporting period, and identify performance and expenditures. AUBURN has never been assessed liquidated damages, which we attribute to our ability to produce and maintain excellent project schedules.



Quality - Long after construction is completed, this project will be highly visible to the public and provide a critical service to the surrounding community. AUBURN recognizes the great importance of this project to the City and will provide our distinguished attention to detail that we bring to every project we perform. AUBURN has an excellent track record of doing work right the first time and going the extra mile to ensure that all parties are satisfied with both function and aesthetics.

IDENTIFYING CHALLENGES

Based on AUBURN's thorough proposal preparation, we have identified the following aspects of work as particularly challenging comparatively in the overall scope.

CHALLENGE #1: Storm Drain Tie-In on Westpark Drive

The 30" storm drain tie-in on Westpark Drive will be inherently difficult as it requires us to perform a large diameter tie-in on an active street. This will necessitate continuous traffic control and a potential lane closure for multiple days as the new pipe is installed and the saddle manhole is cast in place. Some mitigation measures for this challenge are as follows:

- Clear communication with the City and other affected parties as to our tie-in schedule and durations.
- Prepare a detailed traffic control plan well in advance with review and buyoff from affected parties.
- Make consideration for working overtime hours on this task until in-traffic work is complete.

CHALLENGE #2: Construction Site Access

The current Erosion Control Plan shows temporary construction entrances being located on the north and east sides of the project in the same locations as the permanent

entrances. The north entrance is inconveniently located behind a security access gate for the Pleasant Grove Treatment Plant. Because work will be occurring simultaneously on the tanks and the pump station area, there will be considerable access demands between Auburn's forces and that of our tank subcontractor. We feel that two construction entrances will be required on the east side of the project to meet this demand. Ideally, the north access point could be moved to the location shown in Figure 3 below. This entrance would be conveniently located for the tank builder's use and the area already requires demolition in order to install the 30" storm drain.



Figure 3: Overview of 30" Storm Drain tie-in on Westpark Drive and possible access points to the site.

CHALLENGE #3: Coordination with Power Utility

Coordination with an outside agency to provide permanent power to a construction site is a recurring challenge on projects and if not properly coordinated, can become a major schedule driver or delay. Although we are not dealing with a larger organization like PG&E, we believe that coordination with Roseville Electric to provide permanent power to the site could present some difficulties making it worthy to mention in this section. Some mitigation measures for this challenge include:

- Early coordination and communication with Roseville Electric regarding the West Side Tanks and Booster Pump Station Project.
- Finalization of utility design.
- Frequent communication with Roseville Electric throughout the project to ensure that our scheduling and inspection requirements are identified and understood.

CHALLENGE #4: Backfill of Booster Pump Station

GATEWAY plans to construct both tanks concurrently with a three-month delayed start of Tank #1 after proceeding with Tank #2. As such, our preliminary schedule favors AUBURN's work progressing from west to east across the site in order to provide the best possible access for our tank subcontractor. Once tank over-excavation is completed, our forces can install underground utilities for the tanks and advance to the tank valve vault, triggering the start MSE foundation installation. As the tank work progresses from Tank

#2 to Tank #1, our forces will have advanced the site underground utilities to the Booster Pump Station. We will then begin work on the pump cans and the pump station valve vault while work on both tanks progresses.

Once the deeper aspects of the Booster Pump Station are completed, the pump station area will require backfilling to slab subgrade. During backfill of the pump station area, access will become congested between the earthwork subcontractor and the tank builder. This could possibly create a situation where AUBURN's forces have a brief delay in the work until backfill is completed. Some mitigation measures for this challenge include:

- Collaborating closely with our subcontractors when refining our CPM Baseline schedule and work plan to mitigate potential conflicts;
- Reviewing alternative sequencing of the work to ensure the best possible timeline.

CHALLENGE #5: Tank and Pipeline Disinfection and Flushing

Disinfection and flushing of the potable water tanks and pipelines will propose a challenge due to the large-scale infrastructure and sheer volume of water that will be required to make this possible. Discharging this high volume of flushing water and dechlorinated disinfection water to the City's system will require coordination with City utilities. We will prepare a highly detailed Disinfection Plan that draws heavily from AUBURN's and GATEWAY's experience in disinfecting water treatment plants, reservoirs, and pump stations.

CHALLENGE #6: Concrete Delivery

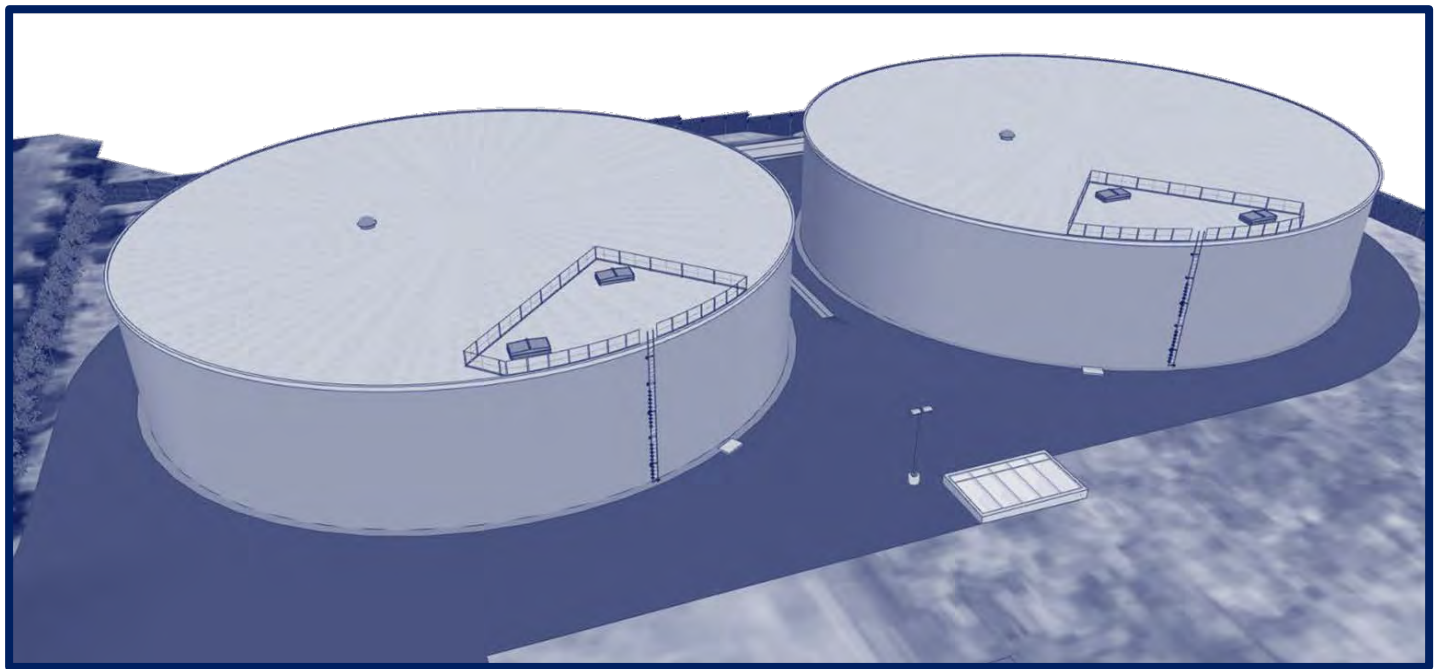
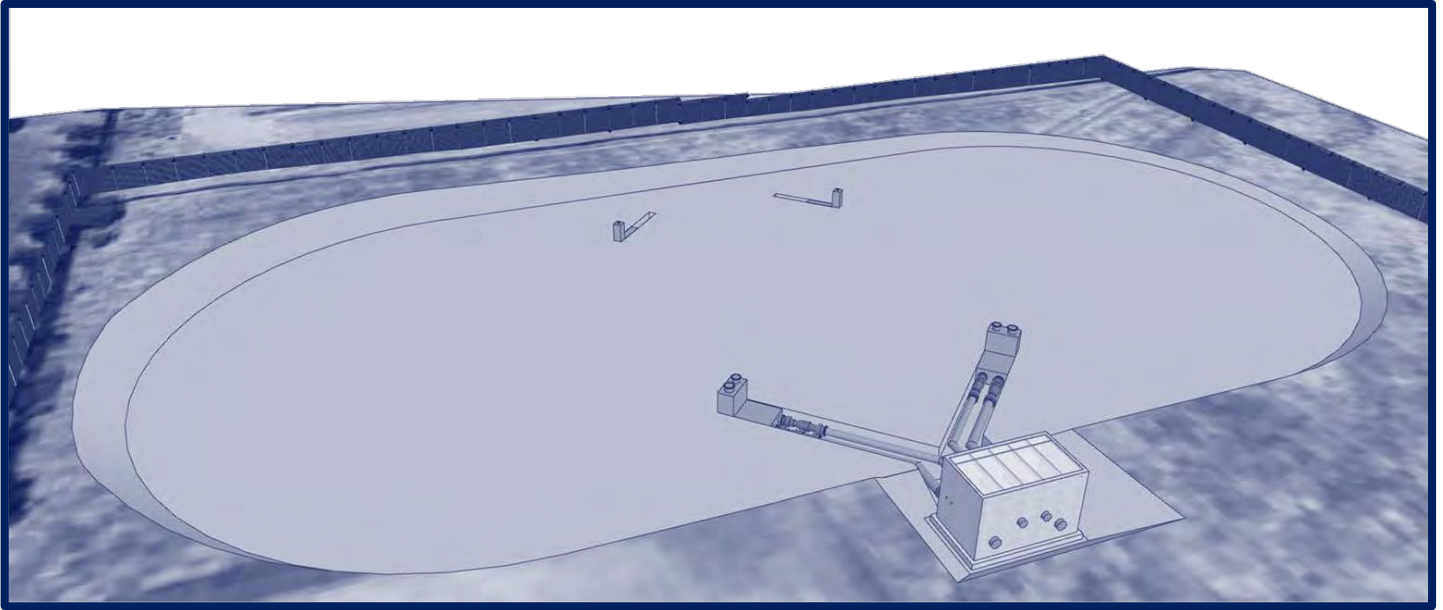
There is a total of two (possibly three) local concrete batch plants that will be able to service this project's demand. Due to the current overwhelming demand, these plants are requiring pours to be scheduled as far out as one month in advance, with delays of up to a week if contractors are unable to meet their originally scheduled pour date. GATEWAY is currently experiencing this challenge as they construct a 6MG prestressed concrete tank in Lincoln, California, to be completed in June of this year. To mitigate this challenge, AUBURN will ensure that lookahead schedules are accurate and to-date and will keep open communication with the plant as work progresses.

CHALLENGE #7: West Park High School Opening, Traffic, and Public Safety

The Roseville High School District has put out a notice stating that the West Park High School, located opposite the project site, will be opening for its first school year in August 2020. Though main access to the school is not off Westpark Dr., this still has the potential to increase traffic, congestion, and public attention at the project.

The tank foundation and structures alone require over 18,000 CY of aggregate base and drain rock and 6,000 CY of ready-mix concrete. Truck traffic to and from the site will be significant. AUBURN will work diligently with our suppliers to develop an efficient truck routing plan and will provide clear communication, access, signage, and traffic control measures when interfacing with the public right of way.

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TAB B



PROJECT APPROACH

PROJECT APPROACH

FOUNDATIONAL ELEMENTS

The following key elements form the foundation of our project approach:

1. **CONFIDENCE:** The City will have the full commitment and involvement of our top-level management throughout the life of the project. This commitment ensures that our best-qualified project team is selected, assembled, and available at the start of the project with the proper focus, organizational backing, and resources to “hit the ground running”.
2. **EXPERTISE:** AUBURN employs a team of proven client-focused construction professionals with current relevant project experience and intimate knowledge of the local construction market; who work well together and possess the mature interpersonal skill sets necessary to work collaboratively as a team; and who are committed to the success of the project.
3. **THE RIGHT PEOPLE:** We have assembled a team of qualified subcontractors, sub-consultants, and vendors, who are quality-focused with the proven expertise and depth of resources to handle a project of this size and complexity. It is worth noting that both AUBURN’s and GATEWAY’s management and skilled craftspeople live locally and have deep roots in the community. Our people are motivated to realize this project’s success.
4. **APPROPRIATE MEANS:** We utilize the most appropriate project scheduling, management and communication tools to provide accurate and real time information for effective decision making, including Primavera P6, ProCore, etc. The key to a successfully run project is not the software, it is the people using the software. We will use the appropriate tools to make this project a success and keep everyone informed and comfortable that our collective goals are being accomplished.
5. **OPEN COMMUNICATION:** Our team ensures effective communications and teamwork at all levels of the project with all stakeholders through a collaborative team approach, partnering with the City Engineering and Operations staff, and Water Works Engineers, to make the project a success for all.
6. **DEPTH OF RESOURCES:** AUBURN has the financial strength and Company-wide depth of resources to ensure the necessary manpower, materials, end equipment are employed on the project when needed.
7. **PREPLANNING:** We will establish a “Critical Path” submittal list at the project onset, working with vendors, the City and Engineer to expedite equipment procurement to ensure timeline objectives are met.

MAJOR PROJECT COMPONENTS

AUBURN has generated a preliminary CPM schedule which identifies the following major project components, the critical path drivers, and our proposed methodologies to accomplish the required tasks within the desired timeline:

1. Pre-Planning and Design Assistance
2. Site Development
3. Foundation Mitigation and Tank Construction
4. Tank Valve Vault
5. Booster Pump Station
6. Electrical, Instrumentation, and Control
7. Sitework Concrete, Paving, and Landscaping
8. Project Startup and Closeout

ITEM #1: PRE-PLANNING AND DESIGN ASSISTANCE

Pre-Planning

Once NTP is issued, pre-planning activities will continue in earnest, which will involve issuing all subcontracts and purchase orders for the project, delivering submittals for long-lead time and critical path items, and performing the required pot holing to confirm the extent of all existing utilities within the project limits. Some of the critical path submittals we will pursue initially include:

- MSE Foundation System
- Tank Liner and Underdrain
- Prestressed Concrete Tank
- Underground Pipe, Valves, Fittings
- Precast manholes and vaults
- Vertical Turbine Pumps and Cans
- Major electrical and instrumentation equipment

Design-Assistance

As a Design-Assist Team member, AUBURN, GATEWAY and their subcontractors will bring their extensive background and expertise to the table alongside the City and Water Works Engineers. Upon NTP, we will conduct a constructability review of the final design, providing our combined insight on construction means and methods to offer potential cost and schedule saving ideas that provide an overall benefit to the project. We will also provide value engineering concepts that seek to improve the overall quality of the project. Some of the concepts we have extrapolated to date are presented in Tab C of this scope of work. These concepts will be refined as we participate in up to eight (8) Final Design Coordination Meetings with the Design-Assist Team.

Item #1 Key Staff:

- Dean Bailey (Project Sponsor) – Oversee all contractual matters
- Luke Smith (Project Manager) – Overall project planning and coordination responsibility, critical early submittals, and design assistance.
- Kevin Couper (Principal-in-Charge) – Resource allocation and planning.
- Darin Van Oosterhout (CPM Scheduler) – Baseline schedule creation and updates.
- Andy Rusk (Electrical PM) – Coordination with Roseville Electric, electrical sequencing and installation.
- Gateway Pacific (Tank Builder) – Tank submittals preparation and design assistance.

ITEM #2: SITE DEVELOPMENT

AUBURN will begin initial site development by establishing our access points to the site, installing temporary security fence, mobilizing facilities and equipment and installing Best Management Practices (BMPs) as identified in our SWPPP plan. After these items have been addressed, clearing and grubbing of the site can proceed followed by earthwork activities.

Critical path of the project schedule runs through construction of the two (2) 6MG storage tanks. As such, it will be our priority after mobilization to perform over-excavation for the tanks' foundation and installation of under-tank utilities to make way for our tank builder. The tank excavation will generate over 15,000 CY of soil that will be used for fill operations on the remainder of the site. Our earthwork subcontractor will backfill the site concurrently while over-excavation is taking place to minimize any double handling of material. Though some of this material will have to be placed under the pump station, we will intentionally try to leave the footprint of the booster pump station low as we will have to excavate back through this material to install the pump cans and valve vault.

Once tank over-excavation is complete and prior to our tank builder beginning MSE installation, our underground crew will install the following underground utilities: the 8" tank drains, the 24" tank fill lines, the 30" tank discharge lines, the duct bank running between the two tanks, and the 30" storm drain located on the south side of the tanks. MSE foundation work can begin once these features are in place.

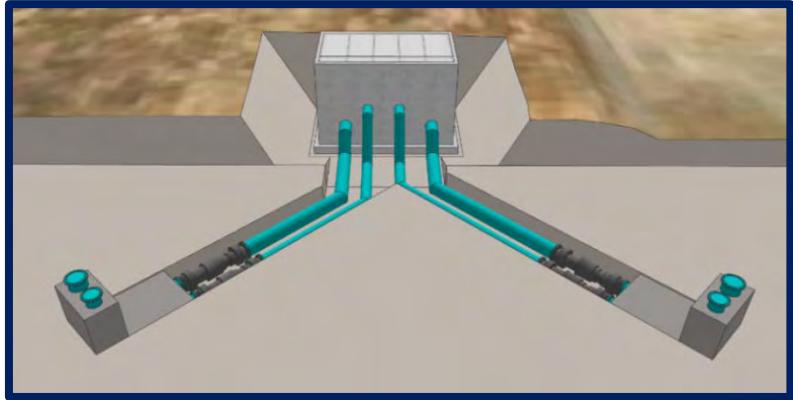


Figure 4: Overview of the 24" and 30" tank fill and discharge lines.

As MSE work begins, our underground crew will advance the 30" and 42" PW lines and electrical from the tank valve vault to the booster pump station. At the pump station, schedule will follow installation of the pump cans and valve vault. Once these features are installed and backfilled, our underground crew will complete installation of the PW pipelines (stopping short of the PW tie-in), the 6" sanitary sewer (SS) line, and underslab electrical. Other notable underground utilities on the site include the 8" storm drain line on the north end of the site, which is not on the critical path of the schedule, and the leak detection pipelines, which will be discussed further in the following section.

It should be noted that Specification Section 01110, Paragraph 1.5.B.1 states that work on the future Operations Building will be under a separate contract following completion of this project. However, Plan Sheet #54, Note 3 states that work on the Ops Building will commence during construction of the West Side Tanks, in accordance with "Project Milestone 2". We will need to confirm the City's intended timeline with this location during the Design Finalization stage so that we are able to build this into our work plan. It will also be critical that the Design-Assist Team finalizes the details for the cathodic protection system so these elements can be installed as the pipe is being installed.

Item #2 Key Staff:

- Luke Smith (Project Manager) – Overall project planning, subcontractor coordination, underground utility coordination
- Don Pearson (Electrical Superintendent) – Underground electrical coordination
- Earthwork Subcontractor – Clearing and grubbing, over-excavation of tank foundation, backfill operations across site

ITEM #3: FOUNDATION MITIGATION & TANK CONSTRUCTION

Our tank builder, GATEWAY, will mobilize and begin work on the MSE foundation once tank underslab utilities are installed. Our schedule shows it will take roughly 16 months to complete work on both tanks, with 2 months committed to MSE installation and the remaining 14 months committed to tank construction, wrapping, and disinfection. Work will proceed at Tank #1 two to three months after beginning work on Tank #2, at which point construction will progress simultaneously on both tanks. This delayed start is to account for the Specialty Tank Pre-stressor's (DN Tanks) work that will occur on the tail end of tank construction. DN Tanks will mobilize one strand wrapping and automated shotcrete machine to the site, which will wrap, prestress, and shotcrete each tank sequentially. This process will take roughly two to three months to finish Tank #2 and relocate the machine to Tank #1.

It should be noted that GATEWAY plans to install the tank slabs and roofs in two pours, as is allowed by the contract structural drawings. This will effectively create a construction joint through the slab and roof of each tank.

GATEWAY will install the 30-mil liner underneath the tanks as they construct the MSE foundation. Once tank construction is completed, AUBURN will backfill the tanks and install the tank leak detection piping and drain rock, bringing up the liner as we backfill and wrapping it back to the tanks for attachment. Leak detection piping will be routed back to the tank valve vault, while the upper drain piping will be routed to the nearby retention basin to the south.



Figure 5: View of one of DN Tanks' pre-stressing machines wrapping a concrete tank.

Final cleaning and disinfection of the tanks will be performed by GATEWAY utilizing AWWA C652, Method 2, as required in Specification Section 03314. Tank disinfection will take place after or in-conjunction with pipeline disinfection. A certified backflow prevention device will be installed at the PW tie-in location so that water can be sent from the City's system through the PW lines to the tanks. Disinfection will, most likely, be performed one tank at a time and utilize the same 6 MG of water for both tanks. Upon passing bacteriological testing, this water will be ready for distribution.

Item #3 Key Staff:

- Luke Smith (Project Manager) – Overall planning, subcontractor coordination
- Gateway Pacific (Tank Builder) – Tank foundation, PVC liner, tank construction, flushing and disinfection
- DN Tanks (Tank Pre-stressor) – Tank wrapping, pre-stressing, & shotcrete

ITEM #4: TANK VALVE VAULT

Because the critical path flows through construction of the storage tanks, there is considerable float for the other structural concrete elements on the site. For example, the Tank Valve Vault is shown with roughly 440 working days (WD's) of float. However, in an effort to maximize efficiency and limit the number of activities requiring completion on the back end of tank construction, AUBURN concrete crews will begin work on the Tank Valve Vault at the same time as our mechanical crews are installing under-tank utilities. Consequently, our concrete and mechanical crews will have completed the valve vault and moved on to the Booster Pump Station area by the time that GATEWAY begins slab work on Tank #1. This will help to limit congestion around the tanks. Concrete construction of the tank valve vault will take an estimated 60 WD's.

Item #4 Key Staff:

- Luke Smith (Project Manager) – Overall project planning and coordination, site supervision of AUBURN concrete and mechanical crews
- Don Pearson (Electrical Superintendent) – Electrical coordination

ITEM #5: BOOSTER PUMP STATION

Our concrete crews will move from the Tank Valve Vault to the Booster Pump Station to install the vertical turbine pump cans and encasement, followed by the pump station valve vault. Once these deeper features have been completed, the pump station footprint will be backfilled to install the underslab piping and electrical, followed by the pump station grade beams and slab on grade. Concrete installation at the Booster Pump Station will take roughly 130 WD's.

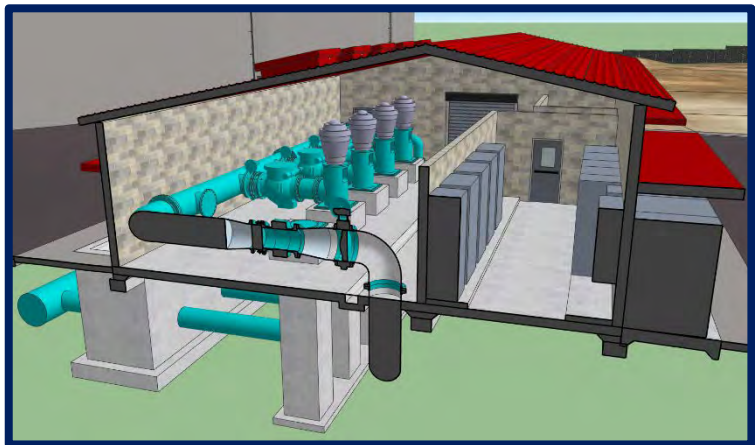


Figure 6: Section view of the Booster Pump Station, facing west.

After the slab has been poured, work at the pump station will follow a series of building trade subcontractors who will construct the CMU block walls, erect the open web steel joist roof structure, install the standing seam metal roof and access hatches, install HVAC, louvers, roll-up door, etc. CMU block buildings, like the one on the West Side Tanks and Booster Pump Station Project, requiring the contribution of numerous building trades are

a standard feature on water conveyance projects completed by AUBURN. Our project manager and site foremen will work closely with our subcontractors to ensure that each step is properly coordinated and executed.

As the building is being completed, our mechanical crew will be present to install the vertical turbine pumps and motors, exposed piping and valves, and the chemical storage and injection system. Completion of the CMU block building and mechanical installation will occur in August 2021, approximately 60 WD's after the slab has been poured. Completion of the Booster Pump Station is currently shown with 250 WD's of float.

Item #5 Key Staff:

- **Luke Smith (Project Manager) – Overall project planning and coordination, site supervision of AUBURN concrete and mechanical crews, subcontractor coordination**
- **Don Pearson (Electrical Superintendent) – Electrical coordination**
- **Building Trade Subcontractors – Construction of CMU block building, steel erection, roof installation, HVAC, roll-up door**

ITEM #6: ELECTRICAL, INSTRUMENTATION, AND CONTROL

As mentioned above, electrical underground installation will begin at the PW tanks after over-excavation of the tank footings is complete. It is our preference to rough-in the duct bank that runs between the two tanks prior to tank construction, as this area will become inaccessible while tank work is in progress and it will prevent us from potentially having to excavate back through the MSE foundation if this work had to occur after the tanks were completed. From the tanks, our electrical crew will follow behind our mechanical crew, roughing-in electrical at the tank valve vault and progressing east to the booster pump station. Underground electrical at the pump station will be completed after the pump cans and pump station valve vault are backfilled. The electrical crew will then focus on the generator area, followed by remaining duct banks onsite.

Once the booster pump station structure is complete, focus will shift to installation of above ground features at the pump station, including the switchboard, ATS, VFD's, soft starters, control panel, instrumentation, etc. Our crews will then install the generator and ancillary equipment at the generator area. They will then return to the PW tanks once tank construction is completed to rough-in any remaining underground and install tank instrumentation.

Our electrical team will be a driving force in helping to coordinate permanent power connection to the site. We will engage with Roseville Electric early on and throughout the

project to ensure that our scheduling and inspection requirements are identified and understood.

Installation of hardware, instrumentation, and I&C infrastructure will be by the Contractor while programming will be provided by the City. Our electrical team and system integrator will work closely with the City to ensure that this is a smooth and successful process.

AUBURN holds a major advantage over our competitors in the electrical field because we perform all electrical work in-house. This not only helps us to keep our costs low, but it effectively houses the electrical scope within the AUBURN family. Work is scheduled seamlessly as our managers from the civil and electrical disciplines work hand-in-hand, and our field crews work together on a daily basis. This helps to severely mitigate scheduling and coordination conflicts that can occur as subcontractors vie for priority or access.

Item #6 Key Staff:

- Luke Smith (Project Manager) – Overall project planning and coordination
- Andy Rusk (Electrical PM) – Electrical sequencing and scheduling, Coordination with Roseville Electric
- Don Pearson (Electrical Superintendent) – Site electrical coordination and supervision
- Integrator – Supply, testing, & startup assist of PLC, control panel, instrumentation, and other I&C hardware.

ITEM #7: SITEWORK CONCRETE, PAVING, AND LANDSCAPING

After the site is developed and some of the major structural features are completed, focus will shift to several sitework related features, including the CMU block wall, installation of three (3) Bioretention Ponds, permanent chain link fencing, sitework concrete, AC paving, and landscaping. Some of these features cannot be completed until the tank work is complete and GATEWAY has demobilized from the site, such as installing the south bioretention pond and grading, paving, and pouring miscellaneous concrete around the tanks.

Item #7 Key Staff:

- Luke Smith (Project Manager) – Overall project planning and coordination, sequencing subcontractor work, managing Auburn forces performing concrete installation.
- Subcontractors – Paving, Landscaping, CMU block installation, Liner installation, & chain link fencing will be performed by subcontractor forces.

ITEM #8: PROJECT STARTUP, COMMISSIONING, AND CLOSEOUT

As we approach project completion, AUBURN will provide a detailed Start-up Plan and Disinfection Plan, along with a Start-up Schedule and Training Schedules in accordance with Technical Specification Section 07750, to coordinate all start-up activities with the City and our suppliers. This plan and schedule will be provided to the City not less than 3 months prior to initial equipment startup to allow ample time for review.

The startup process, in general, will begin with the cleaning, flushing, disinfection, bacteriological testing, and leak testing of the PW Tanks and distribution system, which was discussed briefly in Item #3 above. Once we have water in the system, we can move into Functional and Performance Testing of the plant equipment. Each individual equipment startup will be coordinated by AUBURN and will be supervised onsite by the manufacturers' technical representative. Our Integrator and the City's programmer will



Figure 7: Aerial view of a PW and wastewater treatment facility recently constructed and commissioned by AUBURN for Harrah's Northern California Casino in Lone, CA.

also be required onsite during this process, so they are able to communicate directly with the manufacturers' representatives and ensure that each piece of equipment is communicating properly with the plant PLC. City operators will also be required onsite at this time to participate in essential training for each piece of equipment.

Operational Testing of the plant can proceed once training and individual equipment

start-ups have been completed. Overall startup of the plant facilities will be demonstrated by conducting a seven (7) day, continuous operational test of the completed facilities. This test will prove to the City's and Engineer's satisfaction that all equipment and systems operate in the manner they are intended to perform.

Our final task will be to ensure that a thorough punch list has been developed and all items have been fully satisfied. AUBURN will then demobilize from the project and turnover the facility to the City's care.

Item #8 Key Staff:

- Luke Smith (Project Manager) – Overall project planning and coordination, sequencing of start-up activities, preparation of start-up plan, coordinating training, development of punch list, and completion of As-Builts.
- Andy Rusk (Electrical PM) – Electrical and I&C startup coordination.
- Gateway Pacific (Tank Builder) – Leak Testing, Disinfection of PW Tanks.
- Integrator – Onsite I&C startup assistance.
- Vendors – Onsite equipment testing and startups.

PRELIMINARY PROJECT SCHEDULE

Our proposed work schedule is shown on the pages that follow. This preliminary schedule has been prepared by Darin Van Oosterhout, who is our proposed CPM Scheduler for the project. Please see Tab G of this proposal to review Darin's experience and qualifications.

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Actual Work
 Critical Remaining Work
 Remaining Work

 Milestone

Page 5 of 6
 TASK filter: All Activities

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Activity ID	Activity Name	Start	Finish	Original Duration	Actual Duration	Total Float	2020												2021												2022											
							Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep			
SU12	Field Testing Panelboard & Transformer	30-May-22	31-May-22	2	0	0																																				
	Field Testing VFD's	01-Jun-22	02-Jun-22	2	0	0																																				
	Field Testing Control Panels	03-Jun-22	07-Jun-22	3	0	0																																				
	Field Testing PLC Hardware	08-Jun-22	14-Jun-22	5	0	0																																				
	Field Testing Security System	15-Jun-22	16-Jun-22	2	0	0																																				
	Field Testing Access Control System	17-Jun-22	20-Jun-22	2	0	0																																				
	Field Testing Video Monitoring System	21-Jun-22	22-Jun-22	2	0	0																																				
	Field Testing Instrumentation	23-Jun-22	29-Jun-22	5	0	0																																				
	Final Acceptance	30-Jun-22	06-Jul-22	5	0	10																																				
	Start Up Complete	07-Jul-22	13-Jul-22	5	0	10																																				



TAB C



**PROJECT COST REDUCTION
OPPORTUNITIES**

PROJECT COST REDUCTION OPPORTUNITIES

Based on AUBURN's thorough proposal preparation and our firm's extensive experience constructing projects of similar scope, we have identified the following items we believe can improve the existing plan for the new facilities while also potentially creating a savings both during construction and for long term operation and maintenance.

OPPORTUNITY #1: STANDBY GENERATOR

Some disadvantages to the current generator arrangement are the large footprint consumed, the generator will most likely require proprietary parts for servicing and maintenance, and, if the generator were to go down, there is no redundancy built into the system. We would like to propose the installation of three (3) 500 kW generators in parallel. Some advantages to this proposed system include: less up-front costs, less maintenance costs, much faster starting than the 1500 kW size generator, no proprietary parts needed, some amount of redundancy built into the system if one generator fails, and the ability to add a future generator should the plant load increase in the future.

Another inherent opportunity with this change would be to install belly fuel tanks under each generator. This would greatly diminish the footprint of the generator and eliminate the need to run additional plumbing and electrical to a remote tank. Costs would be greatly reduced by eliminating the need for third-party components in the tank fabrication, eliminating the extra concrete footing, and eliminating the stairs and landings.

To initiate this opportunity's review the generator manufacturer will provide documentation in submittal format showing the benefits of changing to multiple smaller generators along with some of the frequently asked questions and examples of other projects which have made similar changes.



Figure 8: Overview of the current design for a 1500 kW diesel engine generator, load bank, and remote fuel tank located on the east side of the Booster Pump Station.

OPPORTUNITY #2: TANK FOUNDATION

GATEWAY has been involved in several Design-Build pre-stressed concrete storage tank projects that included foundation improvements similar to the one designed for this project. One of these past projects utilized the same Geogrid and MSE system specification as the West Side Tanks. It is our professional opinion that it may be possible to utilize Rammed Earth Rock Columns, or alternatively, substitute CLSM in place of Geogrid in order to realize a significant cost savings. We recommend hiring an outside geotechnical engineer to examine soil borrowings to assist us in developing a cost saving alternative, which will also potentially lessen future settlement. Upon receiving initial design information (load diagram) from the Engineer of Record, we would then consult with potential Rammed Earth Pier Contractors to determine if the change is feasible. If feasible and works with other conditions and requirements for the project we would then have this reviewed and approved by our own subconsultant geotechnical engineer.

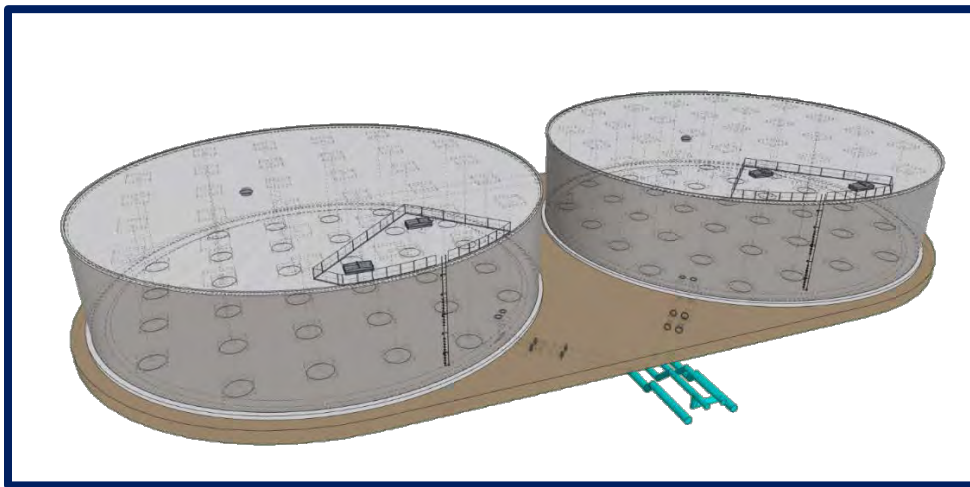


Figure 9: Isometric, x-ray view through the two 6.0 MG potable water storage tanks and the MSE foundation.

OPPORTUNITY #3: HYDRODYNAMIC MIXING SYSTEM

Specification Section 11268 requires that the tank mixing system in the two potable water tanks be the Tideflex Mixing System sole sourced by Tideflex Technologies. The cost of this system is extremely expensive because it is proprietary equipment with no competition. This type of mixing system functions well when there is only one common inlet and outlet pipe designed in the tank; however, the West Side Tanks are designed with individual inlet and outlet pipes. There are other ways of providing water mixing without using duckbill valves and stainless-steel piping. For example, the City has a mixing system in their 7.2mg North East tank utilizing a perforated inlet pipe on the tank floor.

Aside from its inflated cost, a key disadvantage to the Tideflex passive mixing system is it only mixes when water is being pumped into the tank. During the winter months when water use is greatly reduced, an active mixing system using a stand-alone mixer inside the tank is much more efficient. The continuous, powerful circulation of an active mixer provides the most thorough mixing for tanks and enables operators to keep tanks full without sacrificing water quality. Utilizing an active mixing system for the West Side Tanks could present a significant cost savings to the project and will improve water quality.

Additional input and information will be provided from follow-up meetings with the operations staff and Engineer of Record to determine if this opportunity is further discussed (pursuant to our meeting of 3-Mar.-20).



Figure 10: View of a Tideflex Passive Mixing System



TAB D



**CONTRACTOR'S MINIMUM QUALIFICATIONS
AND CERTIFICATIONS**

CONTRACTOR'S MINIMUM QUALIFICATIONS AND CERTIFICATIONS

ATTACHMENT 1 – Proposer's Certification and Evidence of Authority to Sign

Attachment 1- PROPOSER'S CERTIFICATION

West Side Tanks and Pump Station

In response to the Request for Proposals (RFP), dated November 15, 2019, the undersigned hereby proposes to City to furnish all plant, labor, technical and professional services, supervision, materials, and equipment (other than materials and equipment specified as furnished by City), and to perform all operations necessary and required for construction of the West Side Tanks and Pump Station Project, in accordance with the Contract Documents, and any Addenda thereto, for the Total Guaranteed Maximum Price (GMP) and all other terms submitted in the Proposal.

This Proposal constitutes a firm offer to City, which cannot be withdrawn for 120 days from and after the date set for receiving Proposals, or until the Agreement is fully executed by City, whichever is earlier.

It is understood that this Proposal is based upon completion of the Work within a period outlined in Exhibit H-COMPLETION TIMES AND LIQUIDATED DAMAGES, of the Agreement commencing on the date specified in the Notice to Proceed.

The undersigned Proposer hereby certifies that it has examined and is fully familiar with all of the provisions of the Contract Documents; has carefully checked all of the words and figures shown on its Proposal; has carefully reviewed the accuracy of all statements in this Proposal and attachments hereto; and understands and agrees that City will not be responsible for any errors or omissions on the part of the undersigned in preparing this Proposal.

The undersigned Proposer has, by careful examination of the Contract Documents, and by examination of the actual Site conditions, satisfied itself as to the nature and location of all Work, the general and local conditions to be encountered in the performance of any Work, the requirements of the Contract Documents, and all other matters that can in any way affect the Work or the cost thereof.

The undersigned agrees to execute the Agreement and provide City the executed Agreement, the required insurance certificates, endorsements, and waivers of subrogation, and the required surety bonds within fifteen (10) business days after the undersigned's receipt of the City's unsigned Agreement.

I further certify that this proposal is made without prior understanding, agreement, connection, discussion, or conspiracy with any other person, firm or corporation submitting a proposal for the same product or service; that this proposal is fair and made without outside control, collusion, fraud or illegal action; that no officer, employee or agent of the City or any other proposer is financially interested in said proposal; that no undue influence or pressure was used against or in concert with any officer, employee or agent of the City in connection with the award or terms of the contract that will be executed as a result of this RFP; and that the undersigned executed this Proposer's Certification with full knowledge and understanding of the matters therein contained and was duly authorized to do so.

Type of Organization:


☐ Sole Proprietorship ☐ Corporation ☐ State of Incorporation
☐ Partnership ☒ Limited Liability Company

The undersigned Proposer acknowledges receipt, understanding, and full consideration of the following Addenda:

RFP West Side Tanks and Pump Station
Attachment 1 – Proposers Certification

Page 38 of 98

Table 1.1 – Acknowledgement of Addenda

Addendum Number	Addendum Date	Signature of Proposer
1	12/12/19	
2	01/09/20	
3	01/22/20	

Certification if proposing firm is a Sole Proprietorship:

Name (typed or printed):			
By:			
		(Individual's signature)	
Doing business as:			
Business Address:			
Phone Number:	()	FAX Number:	()
Email Address of Authorized Representative:			

Certification if proposing firm is a Partnership

Partnership Name (typed or printed):			
By:			
		(Signature of general partner- attach evidence of authority to sign)	
Name (typed or printed):			
Business Address:			
Phone Number:	()	FAX Number:	()
Email Address of Authorized Representative:			

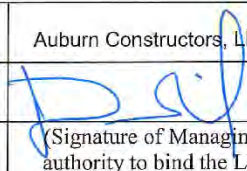
Certification if proposing firm is a Corporation:

Corporation Name (typed or printed):	
State of Incorporation:	
By:	
	(Signature - attach evidence of authority to sign – Board Resolution)
Name (typed or printed):	
Title:	
(CORPORATE SEAL)	

Attest:			
		(Signature of Corporate Secretary)	
Name:			
Date of Qualification to do business:			
Business Address:			
Phone Number:	()	FAX Number:	()
Email Address of Authorized Representative:			

***If person executing on behalf of a Corporation is not the President or Vice President, evidence of authority to sign on behalf of Corporation must be attached.**

Certification if proposing firm is a Limited Liability Company:


Limited Liability Company Name :		Auburn Constructors, LLC	
By:			
		(Signature of Managing Member - attach evidence of authority to bind the LLC under the LLC's articles of organization)	
Name (typed or printed):		J. Dean Bailey	
Title:		President	
Business Address:		730 West Stadium Lane, Sacramento, CA, 95834	
Phone Number:	(916) 924-0344	FAX Number:	(916) 924-1800
Email Address of Authorized Representative:		dbailey@auburnconstructors.com	


****END OF ATTACHMENT 1****


LIMITED LIABILITY COMPANY – SIGNATURE AUTHORITY
AUBURN CONSTRUCTORS, LLC

The special meeting of the Members of Auburn Constructors, LLC was held at Sacramento, CA on January 17, 2020 at 2:00 p.m., all Members present, J. Dean Bailey, Managing Member, presided over the meeting.

RESOLVED, that J. Dean Bailey, as Managing Member, shall be duly authorized to sign all legal documents on behalf of Auburn Constructors, LLC.




John West
Member

Brian Couper
Member

Rich White
Member

	Secretary of State Statement of Information (Limited Liability Company)	LLC-12	19-A23281 FILED In the office of the Secretary of State of the State of California JAN 18, 2019 This Space For Office Use Only		
IMPORTANT — Read instructions before completing this form. Filing Fee — \$20.00 Copy Fees — First page \$1.00; each attachment page \$0.50; Certification Fee - \$5.00 plus copy fees					
1. Limited Liability Company Name (Enter the exact name of the LLC. If you registered in California using an alternate name, see instructions.) AUBURN CONSTRUCTORS, LLC					
2. 12-Digit Secretary of State File Number 201815110028		3. State, Foreign Country or Place of Organization (only if formed outside of California) CALIFORNIA			
4. Business Addresses					
a. Street Address of Principal Office - Do not list a P.O. Box 730 W. Stadium Lane		City (no abbreviations) Sacramento	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">State CA</td> <td>Zip Code 95834</td> </tr> </table>	State CA	Zip Code 95834
State CA	Zip Code 95834				
b. Mailing Address of LLC, if different than item 4a 730 W. Stadium Lane		City (no abbreviations) Sacramento	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">State CA</td> <td>Zip Code 95834</td> </tr> </table>	State CA	Zip Code 95834
State CA	Zip Code 95834				
c. Street Address of California Office, if item 4a is not in California - Do not list a P.O. Box 730 W. Stadium Lane		City (no abbreviations) Sacramento	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">State CA</td> <td>Zip Code 95834</td> </tr> </table>	State CA	Zip Code 95834
State CA	Zip Code 95834				
5. Manager(s) or Member(s) <small>If no managers have been appointed or elected, provide the name and address of each member. At least one name and address must be listed. If the manager/member is an individual, complete items 5a and 5c (leave item 5b blank). If the manager/member is an entity, complete items 5b and 5c (leave item 5a blank). Note: The LLC cannot serve as its own manager or member. If the LLC has additional managers/members, enter the name(s) and addresses on Form LLC-12A (see instructions).</small>					
a. First Name, if an individual - Do not complete item 5b		Middle Name	Last Name		
b. Entity Name - Do not complete item 5a Auburn Constructors, Inc.		Suffix			
c. Address 730 W. Stadium Lane		City (no abbreviations) Sacramento	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">State CA</td> <td>Zip Code 95834</td> </tr> </table>	State CA	Zip Code 95834
State CA	Zip Code 95834				
6. Service of Process (Must provide either Individual OR Corporation.) INDIVIDUAL — Complete items 6a and 6b only. Must include agent's full name and California street address.					
a. California Agent's First Name (if agent is not a corporation) JACK		Middle Name Dean	Last Name BAILEY		
b. Street Address (if agent is not a corporation) - Do not enter a P.O. Box 730 W. Stadium Lane		City (no abbreviations) Sacramento	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">State CA</td> <td>Zip Code 95834</td> </tr> </table>	State CA	Zip Code 95834
State CA	Zip Code 95834				
CORPORATION — Complete item 6c only. Only include the name of the registered agent Corporation.					
c. California Registered Corporate Agent's Name (if agent is a corporation) - Do not complete item 6a or 6b					
7. Type of Business					
a. Describe the type of business or services of the Limited Liability Company General Engineering Contractor					
8. Chief Executive Officer, if elected or appointed					
a. First Name JACK		Middle Name Dean	Last Name BAILEY		
b. Address 730 W. Stadium Lane		City (no abbreviations) Sacramento	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 30%;">State CA</td> <td>Zip Code 95834</td> </tr> </table>	State CA	Zip Code 95834
State CA	Zip Code 95834				
9. The information contained herein, including any attachments, is true and correct.					
01/18/2019	JACK Dean BAILEY	President			
Date	Type or Print Name of Person Completing this Form	Title			
Return Address (Optional) (For communication from the Secretary of State related to this document, or if purchasing a copy of the filed document enter the name of a person or company and the mailing address. This information will become public when filed. SEE INSTRUCTIONS BEFORE COMPLETING.)					
Name: []					
Company: []					
Address: []					
City/State/Zip: []					
Signature: [Signature]					
LLC-12 (REV 01/2017)					

 Attachment to Statement of Information (Limited Liability Company)	LLC-12A Attachment	19-A23281
A. Limited Liability Company Name AUBURN CONSTRUCTORS, LLC		
This Space For Office Use Only		
B. 12-Digit Secretary of State File Number 201815110028	C. State or Place of Organization (only if formed outside of California) CALIFORNIA	

D. List of Additional Manager(s) or Member(s) - If the manager/member is an individual, enter the individual's name and address. If the manager/member is an entity, enter the entity's name and address. Note: The LLC cannot serve as its own manager or member.

First Name Brian	Middle Name	Last Name Couper	Suffix
Entity Name			
Address 730 W. Stadium Lane		City (no abbreviations) Sacramento	State CA Zip Code 95834
First Name John	Middle Name	Last Name West	Suffix
Entity Name			
Address 730 W. Stadium Lane		City (no abbreviations) Sacramento	State CA Zip Code 95834
First Name Richard	Middle Name	Last Name White	Suffix
Entity Name			
Address 730 W. Stadium Lane		City (no abbreviations) Sacramento	State CA Zip Code 95834
First Name	Middle Name	Last Name	Suffix
Entity Name			
Address		City (no abbreviations)	State Zip Code
First Name	Middle Name	Last Name	Suffix
Entity Name			
Address		City (no abbreviations)	State Zip Code
First Name	Middle Name	Last Name	Suffix
Entity Name			
Address		City (no abbreviations)	State Zip Code
First Name	Middle Name	Last Name	Suffix
Entity Name			
Address		City (no abbreviations)	State Zip Code

ATTACHMENT 2 – Certification of Proposer’s Experience and Qualifications

Attachment 2 – MINIMUM EXPERIENCE AND QUALIFICATIONS REQUIREMENTS

West Side Tanks and Pump Station Project

The undersigned Proposer represents that it is duly licensed, competent, and knowledgeable and has the special skills on the nature, extent and inherent conditions of the work to be performed on this Project. Proposer further acknowledges that the conditions inherent in the construction of particular facilities may create, during construction, unusual or unsafe conditions hazardous to persons and property. Proposer expressly acknowledges that it is aware of such risks and that it has the skill and experience to foresee and to adopt and implement protective measures to adequately and safely perform the construction work with respect to such hazards. The prospective Proposer’s qualifications and responses to the questions set forth below are part of the City’s evaluation of the Proposer’s eligibility to receive the award based on the Proposer’s responsibility and responsiveness. The Owner has determined that only Proposers meeting the mandatory minimum experience and qualification requirements set forth below will have the requisite quality, fitness, capacity and experience to perform the highly complex and vital construction work on this Project.

QUESTIONS REGARDING PROPOSER’S RESPONSIBILITY AND FITNESS TO CONTRACT FOR THE WORK.

An answer of “False” to any of the Statements 1 through 9 will be rated a “Fail” and the Prospective Proposer will be immediately disqualified.

Table 2.1 Minimum Qualifications and Experience Questionnaire

No.	True	False	Statement
1	X		Prospective Proposer possesses a valid and current California Contractor’s license -Class A, General Engineering Contractor) for the project for which it intends to submit a Proposal.
2	X		Proposer’s company’s contractor’s license HAS NOT been revoked at any time in the last five years.
3	X		Prospective Proposer is registered with the California Department of Industrial Relations pursuant to California Labor Code Section 1725.5.
4	X		Prospective Proposer has not had a surety finish the work on any contract in the past five years.
5	X		Prospective Proposer has current workers’ compensation insurance policy as required by the Labor Code or is legally self-insured pursuant to Labor Code section 3700 et. seq. OR Prospective Proposer is exempt from this requirement because it has no employees.

ATTACHMENT 2 - Certification of Proposer's Experience and Qualifications

No.	True	False	Statement
6	X		At the time of submitting this RFP, company is eligible to bid on or be awarded a public works contract, or perform as a subcontractor on a public works contract, pursuant to California Labor Code §1777.1 and Labor Code §1777.7.
7	X		At no time during the last five (5) years, has Proposer's company, or any of its officers or partners been convicted of a crime involving the awarding of a contract for a government construction project, or the bidding or performance of any federal, state or local government contract.
8	X		Prospective Proposer agrees to perform with its own organization and with the assistance of workers under its immediate superintendence, work of a value not less than 30% of the Proposer's Total Guaranteed Maximum Price.
9	X		Proposer's Firm has completed at least \$75 Million in construction value on no more than seven (7) projects completed since January 1, 2009.

Auburn Constructors LLC

NAME OF BUSINESS

SIGNATURE

J. Dean Bailey, President

NAME & TITLE, TYPED OR PRINTED

****END OF ATTACHMENT 2****

ATTACHMENT 3 – License Information

Attachment 3 - LICENSES and DIR REGISTRATION

West Side Tanks and Pump Station Project

List the licenses held by your company and/or employees. The following representations are made under penalty of perjury.

A. CONTRACTOR'S LICENSES

CA State License No.	Name on License	Class/Type	Expiration Date
1043407	Auburn Constructors, LLC	A, B, C-10	08/31/2020

B. CITY OF ROSEVILLE BUSINESS LICENSE

Contractors are not required to have a City of Roseville Business license to submit a proposal; however, it will be required before executing a contract. Contractors may apply for a business license at: <https://www.roseville.ca.us/government/departments/finance/licensing/business>

Do you currently have a City of Roseville Business License? ☒ Yes ☐ No

License No. 00838961

C. DEPARTMENT OF INDUSTRIAL RELATIONS CONTRACTOR REGISTRATION

***For Public Works Projects (SB854):** Contractors must register with the Department of Industrial Relations (DIR) pursuant to Labor Code section 1725.5. The Contractor shall provide proof of current registration with the Department of Industrial Relations for both itself and all listed subcontractors with their proposal. Contractors may register at: <http://www.dir.ca.gov/public-works/publicworks.html>

DIR contractor registration number and expiration date:

No.: 100060543 Expiration Date: 06/30/2020

****END OF ATTACHMENT 3****

ATTACHMENT 4 – Corporate Tree

Attachment 4 – CORPORATE TREE

(Proposer to Provide)

**NOT
APPLICABLE**

****END OF ATTACHMENT 4****



TAB E



**PROJECT TEAM QUALIFICATIONS
AND EXPERIENCE**

PROJECT TEAM QUALIFICATIONS AND EXPERIENCE

AUBURN CONSTRUCTORS

Auburn Constructors, LLC (AUBURN) is a General Engineering contractor that has been providing a wide range of construction services for Clients/ Owners in California and Nevada since 1990. AUBURN specializes in the construction of water and wastewater treatment facilities, storm water and freshwater pump stations, water storage facilities, and other water resource/recovery projects. Each project is approached as a joint effort between the client, design, and construction teams. We consistently deliver the highest quality and best value to our clients by integrating teamwork, dedicated project management, and outstanding craftsmanship.

AUBURN self-performs much of all field work with its own experienced crews, including structural concrete, mechanical and process piping, equipment installation and associated earthwork as well as all electrical and instrumentation installations. Many of the company's craftspeople are skilled in several trades which makes the crews versatile and efficient. AUBURN supports its projects with a corporate staff that is thoroughly experienced in all aspects of construction accounting, contracts, risk-management and employee administration services.



Figure 11: Auburn personnel installing vertical turbine pumps at the Los Osos Water Recycling Facility Project.

Throughout our history, AUBURN has completed numerous construction projects under alternative contracting methods. This list includes projects for the Calaveras County Water District, Kirkwood PUD, California American Water Company, Sacramento Regional County Sewer District, Modesto Irrigation District and numerous water and wastewater facilities for Indian Gaming Facilities throughout Northern California. We have also successfully completed the following projects with the City of Roseville:

- Dry Creek WWTP Cogeneration and Nitrate Reduction Improvements Project (Design Assist)
- Dry Creek WWTP Effluent Cooling Towers (Design Build)
- Pleasant Grove WWTP UV Disinfection (Design Assist)
- Dry Creek WWTP Secondary Clarifier(s) Rehabilitation (Design Assist)
- Roseville WTP Concrete & Clarifier Coating and Rehabilitation (Design Assist)

AUBURN has also completed the following projects under alternative contracting methods with Water Works Engineers:

- Dry Creek WWTP Secondary Clarifier(s) Rehabilitation (Design Assist)
- Folsom Water Treatment Plant - Solids Dewatering Project (Design Build)

AUBURN maintains an in-house Electrical Division, which is an integral member of the contracting team for all municipal projects we pursue. The magnitude of the electrical and instrumentation scope on a typical water delivery project requires the Contractor to possess, ideally with its own personnel, expertise of this industry in order to successfully construct, test and implement all of the electrical scope. AUBURN, through its in-house Electrical Division, can provide the City with assurance these requirements will be met. Andy Rusk is the Electrical Project Manager assigned to this project and will be assisting Don Pearson, the Electrical Superintendent, with procurement, RFI's, submittals, QC and safe work practices with respect to the electrical scope of work on this project. Both Mr. Rusk and Mr. Pearson have experience working with the City of Roseville in this capacity on the recently constructed Dry Creek WWTP Design-Assist Project.

The civil, mechanical, and electrical capabilities of AUBURN are unmatched within the treatment plant construction industry. AUBURN takes pride in continually earning positive comparisons when our completed work is seen next to that of another contractor. We see this superior craftsmanship as a direct result of our culture to train and promote from within the organization. We have promoted from within more than 80% of the foremen currently employed by AUBURN. This enables AUBURN to hand pick each foreman based on his leadership capabilities, craftsmanship, attention to safety and ethical character. Motivation and loyalty breed success in our company culture.

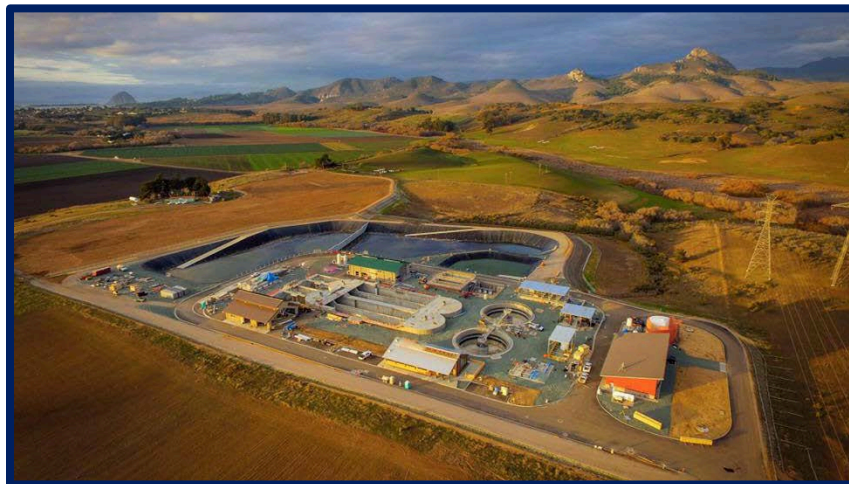


Figure 12: Aerial view of the Los Osos Water Recycling Facility Project. Auburn completed construction of this \$47.8M contract in September of 2016.

We believe that people are our most valuable asset. As such, safety is considered the Company's top priority. All new employees are thoroughly trained in safe work practices as it pertains to their respective work assignments and must pass pre-employment drug and alcohol screening. Safety is the key consideration when activities are planned, and our subcontractors are required to follow strict safety protocols as well. It is our focus that all our employees retire in good health with no injuries along the way. AUBURN believes

its strict attitude toward safety is the reason the company has an excellent safety record and has never received an OSHA citation.

The goal of AUBURN is to deliver the West Side Tanks and Booster Pump Station project to the City before its expected completion date and for a lower cost than budgeted. Our Project Manager (PM) plays a critical role in making this goal a reality. The PM assigned to this project, Luke Smith, will be onsite full-time and will be responsible for all aspects of the project. Mr. Smith is eager to join the Design-Assist team to collaborate with the City, Engineer, Subcontractors and Suppliers to deliver a quality project as cost-effectively as possible. Mr. Smith will be assisted by Kyle Hutchens with daily activities including daily QC inspection logs, RFI's, subcontractor scheduling, safety meetings/inspections, submittals, etc. Mr. Hutchens has experience working with the City of Roseville in this capacity on the recently constructed Dry Creek WWTP Design-Assist Project. Mr. Smith will also have the support from Kevin Couper, Safety Director, with respect to the company safety program. Mr. Couper provides all our Project Manager's with weekly safety meetings which are conducted on-site, as well as ensures that all Cal-OSHA safety and health requirements are in compliance.

MAJOR SUBCONTRACTOR: GATEWAY PACIFIC CONTRACTORS



Construction of the pre-stressed concrete potable water storage tanks will be performed by our Major Subcontractor, Gateway Pacific Contractors, Inc. (GATEWAY). Since 1987, Gateway has built over 90 AWWA D110 Type 1 prestressed reservoirs with DN Tanks, their designated tank pre-stressor. President Evan Lundin oversaw the construction of his first prestressed concrete reservoir in 1981 and has been actively involved in the prestressed tank industry for 39 years. As Gateway's President, Evan has been involved in many improvements in design and construction of these tanks, working closely with DN Tanks' owners and engineers.

GATEWAY is the only local qualified prestressed tank contractor in Northern California. Headquartered in Sacramento, California, GATEWAY has 60 full-time employees including 5 experienced tank superintendents. Although it is critical to have highly-experienced project managers and superintendents building prestressed tanks, it is just as important to have well-seasoned craftsman, including operators, carpenters, finishers and labors with the knowledge of what it takes to construct watertight structure with thin concrete slabs and 40-foot tall walls. These are the details that make a successful concrete prestressed tank.



Figure 13: Aerial view of the Bay Street Reservoir Replacement - Phase 2 project in Santa Cruz, CA constructed by Gateway Pacific. This project included the construction of a 6MG prestressed concrete potable water storage tank.

Because of the building boom in Northern California, all contractors are experiencing a shortage of skilled construction workers. GATEWAY is well aware of this and has been very selective not to take on more work than they have skilled craftsmen available to complete. The timing of these two particular 6MG tanks would be especially beneficial to GATEWAY as they are currently constructing a 6MG prestressed concrete tank in Lincoln, California which will be completed by June of this year. This crew of experienced craftsmen would be available for the West Side Tanks and Pump Station project.

Over our 32 years, GATEWAY has developed a great working relationship with the local subcontracting community. They select only subcontractors who have a proven record to be part of the team. GATEWAY self-performs all the concrete work with their experienced crews, while subcontracting the furnishing and placing of rebar to a qualified rebar Subcontractor with whom they are familiar. GATEWAY will also subcontract the deck shoring to an experienced shoring contractor who has done many of their tanks in the past. As mentioned above, GATEWAY will contract with DN Tanks, Inc. to provide the prestressing and shotcrete work.

GATEWAY's attention to safety has resulted in an EMR 3-year average of 0.90, Recordable Incident Rate 3-year average of 0.656 and "0" Lost Workday Incident Rate for the last 3 years. Gary Bechtel is Gateway Pacific's Safety Manager. He, along with the tank superintendent and GATEWAY's highly experienced craftsmen, will ensure that this project is constructed in a safe, healthy and responsible manner.

GATEWAY and AUBURN have worked together in the past on several projects in the area. We have a history of successful partnerships on projects, several of which were performed directly for the City of Roseville.

THE PROJECT TEAM

The following is a brief description of the duties, qualifications and availability of the management team assigned to this project. Each team member is readily available for this project once Contractor selection has been made. Please refer to the Appendix for the professional resumes of each team member listed below.



Dean Bailey, President (Project Sponsor) - Mr. Bailey, the majority shareholder of AUBURN, holds a degree in Construction Management from California State University, Chico and has over 28 years of experience with AUBURN constructing water and wastewater treatment facilities in the Western United States. Mr. Bailey will oversee all contractual matters for this project. As President and Managing Member for AUBURN, Mr. Bailey has an intimate knowledge of the project requirements as well as the intrinsic liabilities as they relate to the balance of Auburn's corporate structure. Project availability: On demand and will attend monthly meetings.



Kevin Couper, Senior Vice President (Principle-in-Charge) - Mr. Couper holds a Construction Management Certificate from the University of California, Davis and has over 27 years of experience with AUBURN constructing water and wastewater treatment facilities in the Western United States. Mr. Couper manages all field operations for AUBURN, assuring proper manpower and equipment are always assigned to all projects and works closely with each manager as needs arise. Additionally, Mr. Couper holds the position of AUBURN Safety Director. Kevin will ensure all safety training, inspections, meetings, and Cal-OSHA requirements are in compliance. Project availability: On demand and will attend weekly coordination meetings.



Luke Smith, P.E. Project Manager - Mr. Smith will be the on-site project manager for AUBURN, as well as serve in the role of Job Superintendent and Quality Control Manager. Mr. Smith holds a Bachelor of Science in Civil Engineering from California State University, Chico, as well as Professional Engineer licensure with the State of California. Mr. Smith has successfully completed several projects for AUBURN since joining the company in 2015. Project availability is 100%.

Kyle Hutchens, Assistant Project Manager - Mr. Hutchens will be the on-site assistant project manager for AUBURN. Mr. Hutchens holds a Bachelor of Science in Construction Management from Everglades University. Mr. Hutchens will assist the project manager with daily activities including daily QC inspection logs, RFI's, subcontractor scheduling, safety meetings/inspections, submittals, etc. Project availability is 100%.



Darin Van Oosterhout, CPM Scheduler - Mr. Van Oosterhout is AUBURN's proposed CPM Scheduler for the West Side Tanks and Pump Station Project. Darin has been a Project Manager and the lead scheduler with our Company on 18 projects since 1996. As the Construction Scheduler, Darin will work closely with all the Project stakeholders to ensure critical path activities are well identified, all potential delays are quickly addressed, and any project concerns are remedied. Project availability is 20%.



Andy Rusk, Electrical Project Manager - Mr. Rusk will assist AUBURN project management staff on all electrical matters. Mr. Rusk will direct all manpower workforce utilization for the Electrical Division on this project. Mr. Rusk will develop, process and review electrical material and equipment submittals for this project, generate electrical RFI's and will perform overall electrical coordination with all trades. Mr. Rusk commenced his employment with AUBURN in 2016. Project availability is 20%.



Don Pearson, Electrical Superintendent - Mr. Pearson will assist AUBURN project management staff on all electrical matters. Responsibilities include management of field crews to self-perform electrical and equipment installations. Coordination with project management, subcontractors, and suppliers. Oversee safety, quality control, and project scheduling. Assist project foreman with RFI's, design changes, material and equipment procurement, manpower, and equipment data information. Mr. Pearson commenced his employment with AUBURN in 2016. Project availability is 100%.



Gary Bechtel, Vice President, GATEWAY - Mr. Bechtel is an engineering and construction management industry veteran having served in multiple senior level positions over a distinguished 30-year career. Mr. Bechtel's career includes a broad and diversified project portfolio including an \$800 million Liquefied Natural Gas (LNG) Plant in Indonesia and a \$5.5 billion U.S. Nuclear Power Plant while with Bechtel International, as well as \$500M in successful wastewater and water treatment and storage projects for GATEWAY where he currently serves as VP Safety Manager. Project availability is 10%.



Jay Hall, Project Manager, GATEWAY - As Northern California Operations Manager, Mr. Hall is responsible for establishing and monitoring the budget of each Northern California project, including the preparation of monthly progress draws. At the beginning of each project, Jay selects the subcontractors and suppliers based on their capabilities, scopes of work and total cost. Jay orders all permits, organizes the work force, and ensures the project complies with the specifications and industry codes. He then tracks the project CPM schedule closely, monitoring progress and delays. Availability is 20%.



Gary Heim, Tank Superintendent Option #1, GATEWAY - Mr. Heim is responsible for managing project budget and schedule. His daily duties include planning, workforce management, coordination of subcontractors and deliveries, and interaction with representatives of the Owners and Engineer. Other duties include updating CPM schedule and weekly cost accounting. Additionally, Gary ensures that employees are provided with proper equipment, PPE, training, and

safe work procedures so they can make informed decisions and achieve our objective of no lost time incidents. Availability is 100%.

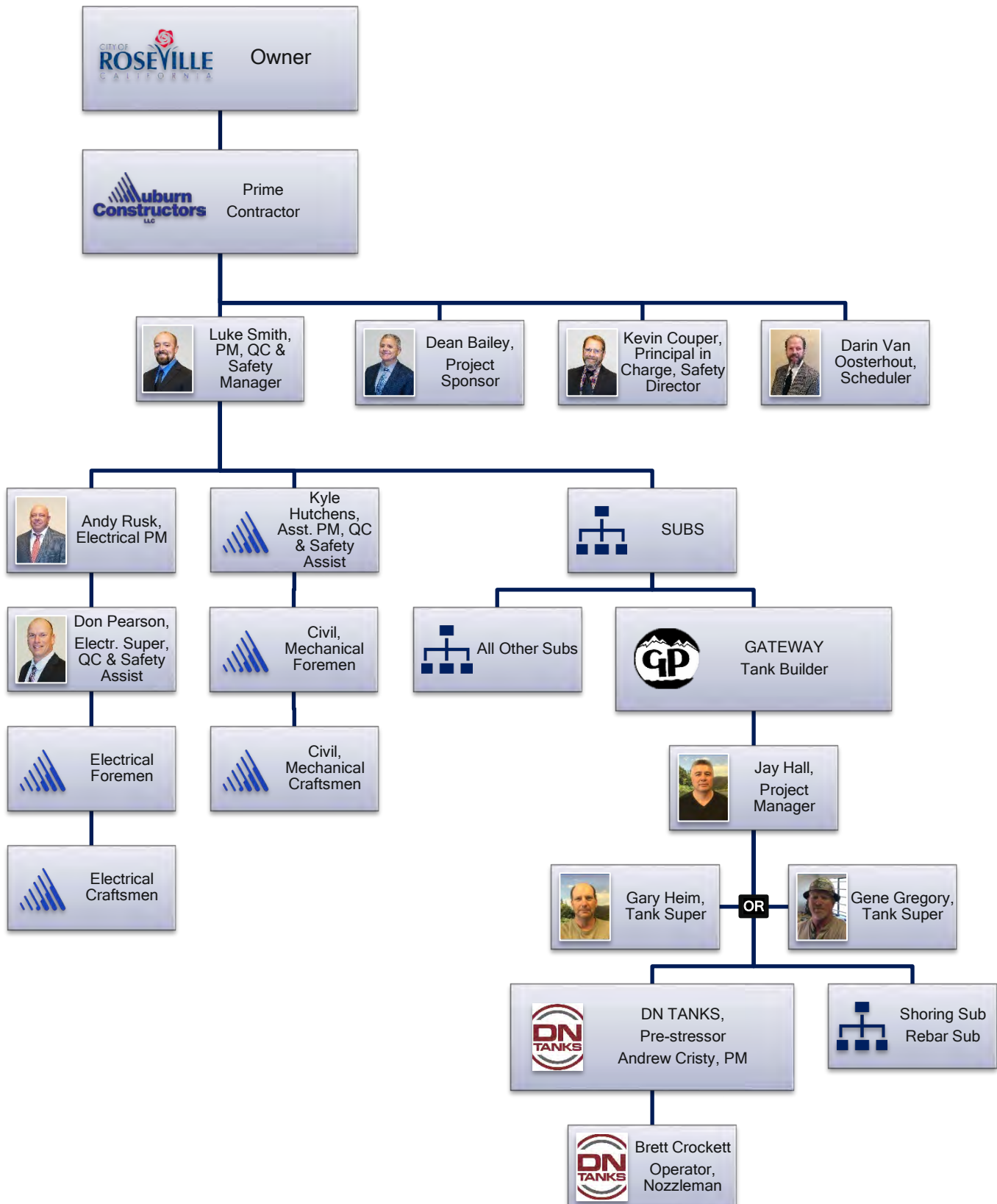


Gene Gregory, Tank Superintendent Option #2, GATEWAY - Mr. Gregory will be responsible for completing this project under budget and on time. His daily duties include planning, workforce management, coordination of subcontractors and deliveries, and interaction with representatives of the Owners and Engineer. Additionally, Gene ensures that employees are provided with proper equipment, PPE, training, and safe work procedures so they can make informed decisions and achieve our objective of no lost time incidents. Project availability is 100%.



Andrew Christy, Project Manager, DN Tanks - Mr. Christy is responsible for project management and construction operations for DN Tanks. His primary responsibility is profitable and timely project completion consistent with quality standards. He will provide support to field staff during the course of the project as necessary.

Brett Crockett, Pre-Stressing Superintendent, DN Tanks - Mr. Crockett is responsible for project completion within budget, in compliance with contract specifications, with high quality, and on time. He will consult with the PM and provide recommendations as necessary to improve project performance. Mr. Crockett will be DN Tanks' company representative at the job site and is in charge of all operations including DN Tanks' safety program. Mr. Crockett will act as the ACI Certified shotcrete nozzleman. Project availability is 100%.



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**SUBCONTRACTOR LIST AND ASSURANCE OF
DESIGNATED PROJECT TEAM**

SUBCONTRACTOR LIST AND ASSURANCE OF DESIGNATED PROJECT TEAM

ATTACHMENT 7 – SUBCONTRACTOR LIST

Attachment 7 - STATEMENT OF SUBCONTRACTORS

Westside Tanks and Pump Station Project

Table 7-1: Statement of Subcontractors

Work to be done by Subcontractor	Percent of Total GMP	Name of Subcontractor	Place of Business (City and State)	CSLB Contractor License Number	DIR Registration Number, and Expiration Date
Prestressed Concrete Tanks	47%	Gateway Pacific Contractors, Inc.	Sacramento, CA	517988	1000000364
Earthwork	2.1%	Dewitt Brothers & Co. Inc.	Yuba City, CA	794030	1000006844
Masonry	0.6%	David Hall Masonry	Ripon, CA	379966	1000006976
Security System	0.6%	Johnson Controls, Inc.	Folsom, CA	022445	1000000593
Painting	1.9%	Mason Painting	Orangevale, CA	819987	1000008947
HVAC	0.06%	James Long Construction Services	Sacramento, CA	821827	1000000065
Chain Link Fence & Gates	0.5%	Pisor Fence Division, Inc.	Citrus Heights, CA	316128	1000003166
Landscaping	1.1%	Marina Landscape, Inc.	Lathrop, CA	492862	1000000079

ATTACHMENT 8 – ASSURANCE OF DESIGNATED PROJECT TEAM

Attachment 8 – ASSURANCE OF DESIGNATED PROJECT TEAM

West Side Tanks and Pump Station Project

The undersigned Proposer certifies that the designated project team, including subcontractors, will be used for this Project. Departure or reassignment of, or substitution for, any member of the designated project team or subcontractors shall not be made without the prior written approval of the City.

Auburn Constructors LLC
NAME OF BUSINESS


SIGNATURE

J. Dean Bailey, President

NAME & TITLE, TYPED OR PRINTED

730 West Stadium Lane, Sacramento, CA 95834

MAILING ADDRESS

(916) 924-0344

TELEPHONE NUMBER

dbailey@auburnconstructors.com

EMAIL

****END OF ATTACHMENT 8****

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TAB H



SAFETY PROGRAM AND
RECORDS

SAFETY PROGRAM AND RECORDS

AUBURN believes that our people are our most valuable asset and anyone visiting or working at an AUBURN project must be kept safe from the intrinsic danger of a construction site. As such, safety is considered the Company's top priority. AUBURN commences with safety training when each person is hired. All new employees must pass a pre-employment drug and alcohol screen and sign up to the Drug & Alcohol Prevention Policy as a condition of employment. All new employees are thoroughly trained in safe work practices as it pertains to their respective work assignments. In the event of any accident causing personal injury or property damage, all individuals involved are subjected to additional drug and alcohol testing. Any violation of the Drug & Alcohol Prevention Policy is grounds for immediate discharge.



Figure 14: Auburn crews installing tank piping on a steel PW storage tank for Harrah's NorCal casino.

Safety is the key consideration when activities are planned, and our subcontractors are required to follow strict safety protocols as well. AUBURN believes its strict attitude towards safety is the reason the company has an excellent safety record and **has never received an OSHA citation** since the founding of the company in 1990 despite several OSHA visits over the years. More important than a good safety record; we want all employees to retire in good health with no injuries along the way.

Kevin Couper is the Company Safety Director and coordinates all required safety training and compliance. Luke Smith will be responsible for conducting weekly safety meetings, site inspections, subcontractor safety and all PPE compliance. Both Mr. Couper's and Mr. Smith's resumes are attached in the Appendix. An electronic copy of our company Safety Program has been provided on the thumb drives provided with this proposal.

AUBURN's Workers Compensation Insurance Carrier contact information is as follows:

The Hartford
12009 Foundation Place
Rancho Cordova, CA 95762
Tessa Lopes, (916) 294-1368

AUBURN SAFETY POLICY STATEMENT

The Occupational Safety and Health Act of 1970 clearly states our common goal of safe and healthful working conditions. Safety and health of the employees of **AUBURN** must be part of every operation. Without question, this is the responsibility of everyone at any and all levels.

It is our intent to comply with all laws. To do this, we must constantly be aware of conditions in all work areas that can produce injuries. No employee of this company is required to work at a job he/she knows is not safe or healthful. Your cooperation in the detection of hazards and, in turn, controlling or eliminating them, is a condition of your employment. Inform your supervisor immediately of any situation beyond your ability or authority to correct.

AUBURN will maintain a safety and health program conforming to or exceeding the best practices and standards of this industry. To be successful, such a program must embody proper attitudes toward injury and illness prevention on the part of supervisors and employees. It also requires cooperation in all safety and health matters, not only between supervisor and employee, but also between each employee and his/her co-worker. Only through such a cooperative effort, can a safety program in the best interest of all be established and preserved.



Figure 15: Auburn crew installs a 72" cement coated steel pipe manifold in Lathrop, CA.

The safety and health program is expected to reduce the number of injuries and illnesses to an absolute minimum. In order to accomplish this, the responsibilities for safety and health are shared by each and every one of us.

- ✓ **As the employer**, we accept responsibility for the guidance and implementation of the safety and health program and for providing the safeguards required to ensure safe conditions.
- ✓ **As the supervisor**, we accept responsibility for the development of proper attitudes toward safety and health within ourselves and those we supervise and for ensuring that all operations are performed with the utmost regard for the safety and health of all personnel involved, including ourselves.
- ✓ **As the employee**, we accept responsibility for the genuine and wholehearted operation of all aspects of the safety and health program, including compliance with all rules and regulations and for continuously practicing safety while performing our duties.

ATTACHMENT 9 – SAFETY RECORD: AUBURN CONSTRUCTORS

Attachment 9 – SAFETY RECORD

West Side Tanks and Pump Station Project

Contractor/Firm completing this report: Auburn Constructors LLC

List any Occupational Safety Health Administration (OSHA) citation for violations of OSHA Standards and Requirements within the past five (5) years. Please explain each violation and the resulting penalties, if any.

None.

Has CONTRACTOR earned any industry safety awards in the past five (5) years? If so, please provide an explanation of award(s).

AUBURN has received the STEP Safety Award from Associated Builders and Contractors in each of the past five years. STEP is a world-class safety management system that dramatically improves safety performance among participants.

Workers Compensation

Identify if your firm is self-insured for Workers Compensation Insurance in California. If self-insured provide the self-insurance number and attach a certification in the Appendix to the proposal.

Provide the name of your Worker's Comp. Insurance Carrier(s) as well as their address, agent's name and telephone number.

The Hartford

12009 Foundation Place, Rancho Cordova, CA 95762

Tessa Lopes, (916) 294-1368

Provide the Average Lost Workday Incident Rates (LWIR), Average Recordable Incident Rates (RIR) and most recent Experience Modification Rate (EMR) in the format presented below.

Contractor's Average Lost Workday Incident Rates (LWIR) and the Average Recordable Incident Rates (RIR) are requested for evaluation of the safety history relating to the CONTRACTOR's construction operations only. Home office staff labor hours and the corresponding injury and illness figures for home office staff shall not be included in the calculation of these rates. Similar information for parent

RFP – West Side Tanks and Pump Station
Attachment 9 – Safety Record

Page 61 of 98

companies, subsidiaries, or other company divisions not directly engaging in construction activities shall not be considered in these rate calculations. All data used in the calculations shall be specific to the company operation who will construct this Project if awarded the Contract.

Average Lost Workday Incident Rate (LWIR)

Calculate and provide your company's LWIR for the past three (3) complete years in the format presented below. The lost workday information is listed on your OSHA forms No. 300 and 300A and is available from your workers' compensation insurance carrier.

LWIR = Total number of lost workday incidents X 200,000 Total employee hours worked

Table 9-1: LWIR

Year	# of Lost Workday Incidents	Total Employee Hours Worked	Lost Workday Incident Rate
1-2018	0	146,184	0
2-2017	0	172,505	0
3-2016	0	154,357	0
3 Year Average	0	157,682	0

Average Recordable Incident Rate (RIR)

Calculate and provide your firm's RIR for the past three (3) complete years in the format presented below. The Incident Rate information is listed on your OSHA forms No. 300 and 300A and is available from your workers' compensation insurance carrier.

RIR = Total number of recordable incidents X 200,000 Total employee hours worked

Table 9-2: RIR

Year	# of Recordable Incidents	Total Employee Hours Worked	Recordable Incident Rate
1-2018	0	146,184	0
2-2017	3	172,505	3.48
3-2016	5	154,357	6.48
3 Year Average	2.67	157,682	3.38

The Experience Modification Rate (EMR)

The EMR is established by the CONTRACTOR's workers' compensation insurance carrier and is based on the CONTRACTOR's loss history. CONTRACTOR can provide either its Intrastate or Interstate EMR.

Identify either: ☒ Intrastate ☐ Interstate: _____

Provide your firm's EMR for the last three (3) complete years (this information is provided by your worker's comp. insurance carrier) in the format presented below.

Table 9-3: EMR

Year	EMR
1-2018	.82
2-2017	.77
3-2016	.81
3 Year Average	.80

END OF ATTACHMENT 9**

ATTACHMENT 9 – SAFETY RECORD: GATEWAY PACIFIC

Attachment 9 – SAFETY RECORD

West Side Tanks and Pump Station Project

Contractor/Firm completing this report: Gateway Pacific Contractors, Inc.

List any Occupational Safety Health Administration (OSHA) citation for violations of OSHA Standards and Requirements within the past five (5) years. Please explain each violation and the resulting penalties, if any.

Please see attached.

Has CONTRACTOR earned any industry safety awards in the past five (5) years? If so, please provide an explanation of award(s).

Not applicable

Workers Compensation

Identify if your firm is self-insured for Workers Compensation Insurance in California. If self-insured provide the self-insurance number and attach a certification in the Appendix to the proposal.

Gateway Pacific is not self-insured.

Provide the name of your Worker's Comp. Insurance Carrier(s) as well as their address, agent's name and telephone number.

<u>Zurich American Insurance Company</u>	<u>Agency: Marsh & McLennan Agency LLC</u>
<u>1299 Zurich Way</u>	<u>P.O. Box 85638</u>
<u>Schaumburg, IL 60196</u>	<u>San Diego, CA 92186</u>
<u>Policy #WC339720200</u>	<u>Brenda Kennerly (858) 875-3085</u>

Provide the Average Lost Workday Incident Rates (LWIR), Average Recordable Incident Rates (RIR) and most recent Experience Modification Rate (EMR) in the format presented below.

Contractor's Average Lost Workday Incident Rates (LWIR) and the Average Recordable Incident Rates (RIR) are requested for evaluation of the safety history relating to the CONTRACTOR's construction operations only. Home office staff labor hours and the corresponding injury and illness figures for home office staff shall not be included in the calculation of these rates. Similar information for parent

RFP – West Side Tanks and Pump Station
Attachment 9 – Safety Record

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companies, subsidiaries, or other company divisions not directly engaging in construction activities shall not be considered in these rate calculations. All data used in the calculations shall be specific to the company operation who will construct this Project if awarded the Contract.

Average Lost Workday Incident Rate (LWIR)

Calculate and provide your company's LWIR for the past three (3) complete years in the format presented below. The lost workday information is listed on your OSHA forms No. 300 and 300A and is available from your workers' compensation insurance carrier.

LWIR = Total number of lost workday incidents X 200,000 Total employee hours worked

Table 9-1: LWIR

Year	# of Lost Workday Incidents	Total Employee Hours Worked	Lost Workday Incident Rate
1-2018	0	101,722	0
2-2017	0	77,957	0
3-2016	0	86,248	0
3 Year Average			0

Average Recordable Incident Rate (RIR)

Calculate and provide your firm's RIR for the past three (3) complete years in the format presented below. The Incident Rate information is listed on your OSHA forms No. 300 and 300A and is available from your workers' compensation insurance carrier.

RIR = Total number of recordable incidents X 200,000 Total employee hours worked

Table 9-2: RIR

Year	# of Recordable Incidents	Total Employee Hours Worked	Recordable Incident Rate
1-2018	1	1012722	1.97
2-2017	0	77,957	0
3-2016	0	86,248	0
3 Year Average			.656

The Experience Modification Rate (EMR)

The EMR is established by the CONTRACTOR's workers' compensation insurance carrier and is based on the CONTRACTOR's loss history. CONTRACTOR can provide either its Intrastate or Interstate EMR.

Identify either: () Intrastate (x) Interstate: Interstate

Provide your firm's EMR for the last three (3) complete years (this information is provided by your worker's comp. insurance carrier) in the format presented below.

Table 9-3: EMR

Year	EMR
1-2018	.83
2-2017	.87
3-2016	1.00
3 Year Average	.90

END OF ATTACHMENT 9**

GPC OSHA CITATIONS IN PAST 5 YEARS

INSPECTION #1183055

DATE: OCTOBER 10, 2016

WHERE: CITY OF MODESTO – DOWNSTREAM TIER 1 NORTH TANK 11 AND PUMP STATION

Citation 1 Item 1 – Type of Violation: General

On or around 10-10-16 Employer allowed subcontracted employee to work in an excavation with an angle steeper than one and one-half horizontal to one vertical (34 degrees measured from the horizontal)

Outcome: Corrected during inspection

Fee: \$900.00

INSPECTION #1269736

DATE: OCTOBER 12, 2017

WHERE: CITY OF SOUTH SAN FRANCISCO – S. SF. STATION 1 WATER TREATMENT PLANT UPGRADE

Citation 1 Item 1 – Type of Violation: General

Prior to and during the course of the inspection, including, but not limited to October 12, 2017, the employer failed to document safety inspections at the job site.

Outcome: Appealed and Reclassified to Notice in Lieu of Citation.

Fee: Penalty eliminated.

Citation 1 Item 2 – Type of Violation: General

Prior to and during the course of the inspection, including but not limited to October 12, 2017, the employer failed to establish a written Heat Illness Prevention Plan that contained all of the required elements.

Outcome: Revised Heat Illness Prevention Program has been submitted and awaits approval.

Fee: \$300.00

Citation 1 Item 3 – Type of Violation: General

Prior to and during the course of the inspection, including, but not limited to October 12, 2017, the employer failed to provide the OSHA Form 300 for the year 2017 to the Division.

Outcome: Appealed and Reclassified to Notice in Lieu of Citation

Fee: Penalty eliminated

ATTACHMENT 9: SAFETY RECORD
GATEWAY PACIFIC, Major Subcontractor - Tank Builder



Workers' Compensation Experience Rating Form

GATEWAY PACIFIC CONTRACTORS INC
FREEPORT VENTURE LLC
8055 FREEPORT BOULEVARD
SACRAMENTO CA 95832

Bureau Number 5-59-34-33-R Page 1 of 2
Effective Date 01/01/2017
Issue Date 10/18/2016
Experience Modification 87%
Insurer TRAVELERS PROP CAS CO OF AM
Insurer Group TRAVELERS GRP #2
Policy Number DTJUB365K759016
Issuing Office HARTFORD
Experience Period 04/01/2012 to 04/01/2015

5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE
5205 CONCRETE/CEMENT WORK-SIDEWALKS-HIGH WAGE
5213 CONCRETE CONSTRUCTION
5403 CARPENTRY-LOW WAGE
5432 CARPENTRY-HIGH WAGE
5606 CONTRACTORS-EXECUTIVE LEVEL SUPERVISORS
6218 GRADING LAND-LOW WAGE
6220 GRADING LAND-HIGH WAGE

#5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE

Summary of Payroll and Expected Losses

Summary of Claims and Actual Losses Primary Threshold: 24,000

Class Code	Payroll	Expected Loss Rate per \$100 payroll	Expected Losses	D-Ratio	Expected Primary Losses	Expected Excess Losses	Claim Number	Injury Type / # of Claims	Open / Closed	Actual Losses	Actual Primary Losses	Actual Excess Losses
Insurer: 697 Policy Period : 01/01/2015 to 01/01/2016												
5187	42,023	1.45	609	0.349	213	396						
5205	1,770,410	1.89	33,461	0.339	11,343	22,118						
5432	24,866	2.21	550	0.335	184	366						
5606	957,917	0.33	3,161	0.397	1,255	1,906						
6220	68,330	1.59	1,086	0.309	336	750						
8742	223,464	0.16	358	0.441	158	200						
8810	305,340	0.15	458	0.488	224	234						
9015	92,280	2.43	2,242	0.435	975	1,267						
Totals	3,484,630		41,925		14,688	27,237	Totals	0		0	0	0

Insurer: 697 Policy Period : 01/01/2014 to 01/01/2015

5140	2,640	1.01	27	0.354	10	17	E1A0698	04	Closed	85,318	24,000	61,318
5187	73,481	1.45	1,065	0.349	372	693	EZG9349	06	Closed	3,005	3,005	0
5205	1,787,862	1.89	33,791	0.339	11,455	22,336	UNDER \$2,001	1		69	69	
5213	43,688	2.51	1,097	0.353	387	710						
5432	14,229	2.21	314	0.335	105	209						
5606	644,545	0.33	2,127	0.397	844	1,283						
6220	143,458	1.59	2,281	0.309	705	1,576						
8742	218,400	0.16	349	0.441	154	195						
8810	439,027	0.15	659	0.488	322	337						
9015	92,085	2.43	2,238	0.435	974	1,264						
Totals	3,459,415		43,948		15,328	28,620	Totals	3		88,392	27,074	61,318

Insurer: 697 Policy Period : 01/01/2013 to 01/01/2014

5187	83,140	1.45	1,206	0.349	421	785						
5205	1,417,927	1.89	26,799	0.339	9,085	17,714						
5213	35,921	2.51	902	0.353	318	584						
5432	15,885	2.21	351	0.335	118	233						
5606	678,920	0.33	2,240	0.397	889	1,351						
6220	293,892	1.59	4,673	0.309	1,444	3,229						
8742	213,200	0.16	341	0.441	150	191						
8810	428,838	0.15	643	0.488	314	329						
Totals	3,167,723		37,155		12,739	24,416	Totals	0		0	0	0

* Not Physically Inspected: # If Any; F = Federal
(S) Subrogation; (J) Joint Claim; (P) Partially Fraudulent, if any
CNR5563396

Workers' Compensation Insurance Rating Bureau of California

10/17/2016

ATTACHMENT 9: SAFETY RECORD
GATEWAY PACIFIC, Major Subcontractor - Tank Builder



Workers' Compensation Experience Rating Form

GATEWAY PACIFIC CONTRACTORS INC
FREEPORT VENTURE LLC
8055 FREEPORT BOULEVARD
SACRAMENTO CA 95832

Bureau Number 5-59-34-33-R Page 2 of 2
Effective Date 01/01/2017
Issue Date 10/18/2016
Experience Modification 87%
Insurer TRAVELERS PROP CAS CO OF AM
Insurer Group TRAVELERS GRP #2
Policy Number DTJUB365K759016
Issuing Office HARTFORD
Experience Period 04/01/2012 to 04/01/2015

5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE
5205 CONCRETE/CEMENT WORK-SIDEWALKS-HIGH WAGE
5213 CONCRETE CONSTRUCTION
5403 CARPENTRY-LOW WAGE
5432 CARPENTRY-HIGH WAGE
5806 CONTRACTORS-EXECUTIVE LEVEL SUPERVISORS
6218 GRADING LAND-LOW WAGE
6220 GRADING LAND-HIGH WAGE
#5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE

	Expected Losses	Expected Primary Losses	Expected Excess Losses	# of Claims	Actual Losses	Actual Primary Losses	Actual Excess Losses
Experience Period Totals	A 123,028	B 42,755	C 80,273	3	D 88,392	E 27,074	F 61,318

Credible Primary Loss				Credible Excess Loss					
$\left[\left(\frac{\text{Total Actual Primary Losses (D)}}{\text{Total Expected Primary Losses (B)}} \times \text{Credibility Primary} \right) + \left(\frac{\text{Total Expected Primary Losses (B)}}{\text{Total Expected Primary Losses (B)}} \times (1 - \text{Credibility Primary}) \right) \right]$				$\left[\left(\frac{\text{Total Actual Excess Losses (F)}}{\text{Total Expected Excess Losses (C)}} \times \text{Credibility Excess} \right) + \left(\frac{\text{Total Expected Excess Losses (C)}}{\text{Total Expected Excess Losses (C)}} \times (1 - \text{Credibility Excess}) \right) \right]$				Total Adjusted Losses	Total Expected Losses (A)
D 27,074	1.00	B 42,755	0.00	E 61,318	0.00	C 80,273	1.00	107,347	A 123,028
Loss-Free Rating: 65%								= Experience Modification	87%

* Not Physically Inspected; # If Any; F = Federal
(S) Subrogation; (J) Joint Claims; (P) Partially Fraudulent, if any
CN#RS663396

Workers' Compensation Insurance Rating Bureau of California

10/17/2016

ATTACHMENT 9: SAFETY RECORD
GATEWAY PACIFIC, Major Subcontractor - Tank Builder



Workers' Compensation Experience Rating Form

GATEWAY PACIFIC CONTRACTORS INC
FREEPORT VENTURE LLC
8055 FREEPORT BOULEVARD
SACRAMENTO CA 95832

Bureau Number 5-59-34-33-R Page 1 of 2
Effective Date 01/01/2018
Issue Date 09/14/2017
Experience Modification 83%
Insurer TRAVELERS PROP CAS CO OF AM
Insurer Group TRAVELERS GRP #2
Policy Number DTJUB365K759017
Issuing Office HARTFORD
Experience Period 04/01/2013 to 04/01/2016

5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE
5205 CONCRETE/CEMENT WORK-SIDEWALKS-HIGH WAGE
5213 CONCRETE CONSTRUCTION
5403 CARPENTRY-LOW WAGE
5432 CARPENTRY-HIGH WAGE
5606 CONTRACTORS-EXECUTIVE LEVEL SUPERVISORS
8218 GRADING LAND-LOW WAGE
6220 GRADING LAND-HIGH WAGE
#5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE

Summary of Payroll and Expected Losses

Summary of Claims and Actual Losses Primary Threshold: 26,000

Class Code	Payroll	Expected Loss Rate per \$100 payroll	Expected Losses	D-Ratio	Expected Primary Losses	Expected Excess Losses
Insurer: 697 Policy Period : 01/01/2016 to 01/01/2017						
5213	1,880,370	2.66	50,018	0.374	18,707	31,311
5606	1,071,607	0.38	3,858	0.405	1,562	2,296
8742	249,172	0.15	374	0.468	175	199
8810	305,784	0.13	398	0.510	203	195
9015	94,606	2.76	2,611	0.454	1,185	1,426
Totals	3,601,539		57,259		21,832	35,427

Claim Number	Injury Type / # of Claims	Open / Closed	Actual Losses	Actual Primary Losses	Actual Excess Losses
Totals					
	0		0	0	0

Insurer: 697 Policy Period : 01/01/2015 to 01/01/2016						
5187	42,023	1.53	643	0.371	239	404
5205	1,770,410	1.94	34,346	0.353	12,124	22,222
5432	24,866	2.23	555	0.363	201	354
5606	957,917	0.36	3,449	0.405	1,397	2,052
6220	68,330	1.67	1,141	0.320	365	776
8742	223,464	0.15	335	0.468	157	178
8810	305,340	0.13	397	0.510	202	195
9015	92,280	2.76	2,547	0.454	1,156	1,391
Totals	3,484,630		43,413		15,841	27,572

Totals					
	0		0	0	0

Insurer: 697 Policy Period : 01/01/2014 to 01/01/2015						
5140	2,640	0.92	24	0.360	9	15
5187	73,481	1.53	1,124	0.371	417	707
5205	1,787,862	1.94	34,685	0.353	12,244	22,441
5213	43,688	2.66	1,162	0.374	435	727
5432	14,229	2.23	317	0.363	115	202
5606	644,545	0.36	2,320	0.405	940	1,380
6220	143,458	1.67	2,396	0.320	767	1,629
8742	218,400	0.15	328	0.468	154	174
8810	438,027	0.13	571	0.510	291	280
9015	92,085	2.76	2,542	0.454	1,154	1,388
Totals	3,459,415		45,469		16,526	28,943

E1A0698	04	Closed	85,318	26,000	59,318
EZG9349	06	Closed	3,005	3,005	0
UNDER \$2,001	1		69	69	
Totals	3		88,392	29,074	59,318

* Not: Physically Inspected # I* Any: F = Federal
(S) Subrogation; (J) Joint Claim; (P) Partially Fraudulent, if any
CN#RS030067

Workers' Compensation Insurance Rating Bureau of California®

09/13/2017

ATTACHMENT 9: SAFETY RECORD
GATEWAY PACIFIC, Major Subcontractor - Tank Builder



Workers' Compensation Experience Rating Form

GATEWAY PACIFIC CONTRACTORS INC
FREEPORT VENTURE LLC
8055 FREEPORT BOULEVARD
SACRAMENTO CA 95832

Bureau Number 5-59-34-33-R Page 2 of 2
Effective Date 01/01/2018
Issue Date 09/14/2017
Experience Modification 83%
Insurer TRAVELERS PROP CAS CO OF AM
Insurer Group TRAVELERS GRP #2
Policy Number DTJUB365K759017
Issuing Office HARTFORD
Experience Period 04/01/2013 to 04/01/2016

5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE
5205 CONCRETE/CEMENT WORK-SIDEWALKS-HIGH WAGE
5213 CONCRETE CONSTRUCTION
5403 CARPENTRY-LOW WAGE
5432 CARPENTRY-HIGH WAGE
5606 CONTRACTORS-EXECUTIVE LEVEL SUPERVISORS
8218 GRADING LAND-LOW WAGE
8220 GRADING LAND-HIGH WAGE
#5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE

Experience Period Totals	Federal Losses	Expected Primary Losses	Expected Excess Losses	# of Claims	Actual Losses	Actual Primary Losses	Actual Excess Losses
	A 146,141	B 54,199	C 91,942	3	88,392	D 29,074	E 59,318

Credible Primary Loss				Credible Excess Loss															
$\left[\left(\frac{\text{Total Actual Primary Losses (D)}}{\text{Credibility Primary}} \right) \times \left(\frac{\text{Total Expected Primary Losses (B)}}{\text{Credibility Primary}} \right) \right] + \left[\left(\frac{\text{Total Actual Excess Losses (E)}}{\text{Credibility Excess}} \right) \times \left(\frac{\text{Total Expected Excess Losses (C)}}{\text{Credibility Excess}} \right) \right]$				$\left[\left(\frac{\text{Total Actual Excess Losses (E)}}{\text{Credibility Excess}} \right) \times \left(\frac{\text{Total Expected Excess Losses (C)}}{\text{Credibility Excess}} \right) \right]$				$\left[\left(\frac{\text{Total Actual Primary Losses (D)}}{\text{Credibility Primary}} \right) \times \left(\frac{\text{Total Expected Primary Losses (B)}}{\text{Credibility Primary}} \right) \right] + \left[\left(\frac{\text{Total Actual Excess Losses (E)}}{\text{Credibility Excess}} \right) \times \left(\frac{\text{Total Expected Excess Losses (C)}}{\text{Credibility Excess}} \right) \right]$											
D	29,074	1.00		B	54,199	0.00		E	59,318	0.00		C	91,942	1.00				Total Adjusted Losses	Total Expected Losses (A)
																		121,016	146,141
Loss-Free Rating: 63%																= Experience Modification		83%	

* No: Physically Inspected; # 1: Any; F - Federal
(S) Subrogation; (J) Joint Claim; (P) Partially Fraudulent, if any
CN#RS030067

Workers' Compensation Insurance Rating Bureau of California

09/13/2017

ATTACHMENT 9: SAFETY RECORD
GATEWAY PACIFIC, Major Subcontractor - Tank Builder



Workers' Compensation Experience Rating Form

GATEWAY PACIFIC CONTRACTORS INC
FREEPORT VENTURE LLC
8055 FREEPORT BOULEVARD
SACRAMENTO CA 95832

Bureau Number 5-59-34-33-R Page 1 of 2
Effective Date 01/01/2018
Issue Date 09/14/2017
Experience Modification 83%
Insurer TRAVELERS PROP CAS CO OF AM
Insurer Group TRAVELERS GRP #2
Policy Number DTJUB365K759017
Issuing Office HARTFORD
Experience Period 04/01/2013 to 04/01/2016

5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE
5205 CONCRETE/CEMENT WORK-SIDEWALKS-HIGH WAGE
5213 CONCRETE CONSTRUCTION
5403 CARPENTRY-LOW WAGE
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Claim Number	Injury Type / # of Claims	Open / Closed	Actual Losses	Actual Primary Losses	Actual Excess Losses
Totals					
	0		0	0	0

Insurer: 697 Policy Period : 01/01/2015 to 01/01/2016						
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5205	1,770,410	1.94	34,346	0.353	12,124	22,222
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5606	957,917	0.36	3,449	0.405	1,397	2,052
6220	68,330	1.67	1,141	0.320	365	776
8742	223,464	0.15	335	0.468	157	178
8810	305,340	0.13	397	0.510	202	195
9015	92,280	2.76	2,547	0.454	1,156	1,391
Totals	3,484,630		43,413		15,841	27,572

Totals					
	0		0	0	0

Insurer: 697 Policy Period : 01/01/2014 to 01/01/2015						
5140	2,640	0.92	24	0.360	9	15
5187	73,481	1.53	1,124	0.371	417	707
5205	1,787,862	1.94	34,685	0.353	12,244	22,441
5213	43,688	2.66	1,162	0.374	435	727
5432	14,229	2.23	317	0.363	115	202
5606	644,545	0.36	2,320	0.405	940	1,380
6220	143,458	1.67	2,396	0.320	767	1,629
8742	218,400	0.15	328	0.468	154	174
8810	438,027	0.13	571	0.510	291	280
9015	92,085	2.76	2,542	0.454	1,154	1,388
Totals	3,459,415		45,469		16,526	28,943

E1A0698	04	Closed	85,318	26,000	59,318
EZG9349	06	Closed	3,005	3,005	0
UNDER \$2,001	1		69	69	
Totals	3		88,392	29,074	59,318

* Not: Physically Inspected # If Any: F = Federal
(S) Subrogation; (J) Joint Claim; (P) Partially Fraudulent, if any
CN#RS030067

Workers' Compensation Insurance Rating Bureau of California®

09/13/2017

ATTACHMENT 9: SAFETY RECORD
GATEWAY PACIFIC, Major Subcontractor - Tank Builder



Workers' Compensation Experience Rating Form

GATEWAY PACIFIC CONTRACTORS INC
FREEPORT VENTURE LLC
8055 FREEPORT BOULEVARD
SACRAMENTO CA 95832

Bureau Number 5-59-34-33-R Page 2 of 2
Effective Date 01/01/2018
Issue Date 09/14/2017
Experience Modification 83%
Insurer TRAVELERS PROP CAS CO OF AM
Insurer Group TRAVELERS GRP #2
Policy Number DTJUB365K759017
Issuing Office HARTFORD
Experience Period 04/01/2013 to 04/01/2016

5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE
5205 CONCRETE/CEMENT WORK-SIDEWALKS-HIGH WAGE
5213 CONCRETE CONSTRUCTION
5403 CARPENTRY-LOW WAGE
5432 CARPENTRY-HIGH WAGE
5606 CONTRACTORS-EXECUTIVE LEVEL SUPERVISORS
8218 GRADING LAND-LOW WAGE
8220 GRADING LAND-HIGH WAGE
#5201 CONCRETE/CEMENT WORK-SIDEWALKS-LOW WAGE

Experience Period Totals	Federal Losses	Expected Primary Losses	Expected Excess Losses	# of Claims	Actual Losses	Actual Primary Losses	Actual Excess Losses
	A 146,141	B 54,199	C 91,942	3	88,392	D 29,074	E 59,318

Credible Primary Loss				Credible Excess Loss															
$\left[\left(\frac{\text{Total Actual Primary Losses (D)}}{\text{Credibility Primary}} \right) + \left(\frac{\text{Total Expected Primary Losses (B)}}{(1 - \text{Credibility Primary})} \right) \right]$				$\left[\left(\frac{\text{Total Actual Excess Losses (E)}}{\text{Credibility Excess}} \right) + \left(\frac{\text{Total Expected Excess Losses (C)}}{(1 - \text{Credibility Excess})} \right) \right]$				Total Adjusted Losses	Total Expected Losses (A)										
D	29,074	1.00		B	54,199	0.00		E	59,318	0.00		C	91,942	1.00			121,016	A	146,141
Loss-Free Rating: 63%															= Experience Modification		83%		

* No: Physically Inspected; # If Any; F - Federal
(S) Subrogation; (J) Joint Claim; (P) Partially Fraudulent, if any
CN#RS030067

Workers' Compensation Insurance Rating Bureau of California

09/13/2017



Explanation of Your Experience Rating Form

Following is a brief explanation of your Experience Rating Form. The WCIRB's website (www.wcirb.com) contains additional information about the calculation of your experience modification. See the *Employers* information box on the home page. Electronic versions of the *California Workers' Compensation Experience Rating Plan - 1995 (ERP)* and the *California Workers' Compensation Uniform Statistical Reporting Plan - 1995 (USRP)* are available on the WCIRB's website on the "Manuals and Plans" tab under "Publications and Filings." These publications are part of the California Insurance Commissioner's regulations and govern experience rating and the reporting of payroll and losses by insurers, respectively.

About Experience Rating

Experience rating provides employers a direct financial incentive to reduce the number of work-related accidents and helps to objectively distribute the cost of workers' compensation insurance among employers assigned to the same industry classification. The USRP contains approximately 500 standard classifications used to describe all types of California businesses. A business that is not specifically described is assigned by analogy to a classification that is most similar in terms of processes and hazards.

Businesses assigned to your standard industry classification are relatively similar to your business; however, there are differences and those differences can have an impact on workers' compensation claims costs. To address these variations and encourage workplace safety, experience rating adjusts the premium you pay either upward or downward based on a comparison of your company's history of payroll and claims (collectively referred to as your "experience") to what is expected for businesses of similar size within the same industry classification. This comparison results in your **experience modification**.

An experience modification greater than 100 results from less favorable loss experience compared to the average of other similar businesses. An experience modification less than 100 results from more favorable loss experience. The data used to calculate your experience modification and the experience modification formula are shown on the Experience Rating Form (often referred to as a "worksheet" or "rate sheet").

Since the experience modification is intended to reflect differences in anticipated future claims costs, the formula reflects several standard "actuarial" adjustments so that past loss experience is used in a way that is predictive of future loss levels. For those employers who have sufficient historical experience to qualify, experience rating is mandatory and used by all insurers.

Data Used for Experience Rating and the Experience Period

The data used to calculate your experience modification is determined by your company's rating effective date, which generally is the inception date, or start date, of your policies. For example, if your policies always start on January 1, your rating effective date would be January 1.

The rating effective date determines the **experience period**, which is a three-year period beginning four years and nine months prior to your rating effective date and terminating one year and nine months prior to the rating effective date. With few exceptions, the payroll and losses arising from all policies incepting within the experience period are used in the calculation of your experience modification.

The payroll and loss information used in the experience rating calculation are reported by your insurer to the WCIRB on *unit statistical reports* in accordance with the USRP. Factors used in the experience rating calculation, such as the Expected Loss Rates, D-Ratios and Credibility (Primary and Excess), are developed by the WCIRB, approved by the Insurance Commissioner as part of the ERP and based on analysis of statewide data.

Experience Rating Form

The Experience Rating Form provides detailed information about the calculation of your experience modification, including the payroll reported by your insurer for each applicable classification and the claim experience reported by your insurer and used in the experience modification calculation. Your company name, address and other business names that are included under your insurance policy are captured from the policy information page. Some information may not be shown due to space limitations.

Terms Used on the Form

Actual Excess Losses ("E") – The experience modification calculation splits the Actual Losses for each claim into two components – a primary amount called Actual Primary Losses and an excess amount called Actual Excess Losses. The Actual Excess Losses are the amount of each claim shown on the form that is above the Primary Threshold, if any.

Actual Losses – The total medical and indemnity paid plus estimated future payments on a claim reported to the WCIRB by your insurer as of the latest required claim valuation date. In order to mitigate the impact of a single claim on your experience modification, the amount of a single loss is limited to \$175,000 in the experience rating calculation. The total of the Actual Losses is shown for informational purposes and is not used in the experience rating calculation.

Actual Primary Losses ("D") – Primary losses represent the more predictable and controllable portion of a claim. Actual Primary Losses are the reported incurred cost of the claim limited to the Primary Threshold applicable to your experience modification. The total of all Actual Primary Losses is used in the experience rating calculation. The Primary Threshold applicable to your experience modification is based on your total expected losses for the experience period and is in Table II of the ERP.

Bureau Number – A unique file number assigned by the WCIRB to your company.

Claim Number – The claim number reported to the WCIRB by your insurer.

Class Code – The code number of the standard classification applicable to the Payroll shown on the form and which determines the Expected Loss Rate and D-Ratio to be used in the experience rating calculation.

Credibility Excess – The weight given to your total Actual Excess Losses in the experience modification calculation. It is a function of your total Expected Losses and is in Table II of the ERP.

Credibility Primary – The weight given to your total Actual Primary Losses in the experience modification calculation. It is a function of your total Expected Losses and is in Table II of the ERP.

D-Ratio – The ratio used to split Expected Losses into "Primary" and "Excess" amounts. This split accounts for differences in the average severity of claims by classification. D-ratios are in Table I of the ERP.

Effective Date – The date your experience modification applies to your policy.

Expected Excess Losses ("C") – The difference between your Expected Losses and your Expected Primary Losses. The total of all Expected Excess Losses is used in the experience rating calculation.

Expected Loss Rate (ELR) – The average rate of losses per \$100 of payroll that is expected for a standard classification during the experience period. ELRs are in Table I of the ERP.

Expected Losses ("A") – The amount of losses expected to arise for businesses of your size and industry classification(s) during the experience period. Expected Losses are determined by multiplying your total payroll for each classification by the corresponding Expected Loss Rate and then dividing by 100. The total of all Expected Losses is used in the experience rating calculation.

Expected Primary Losses ("B") – Determined by multiplying your Expected Losses for each classification by the D-Ratio for that classification. The total of all Expected Primary Losses is used in the experience rating calculation.

Identifying Information in Upper Left Corner – The employer name, address and classifications that apply to your California operations according to WCIRB records may be displayed; however, in some cases, some of this information may not be shown or may or may not be complete due to space constraints.

Injury Type / # of Claims – On individually-listed claims, this provides some detail about the type of injury associated with a claim. Injury types include Death (01), Permanent Total (02), Permanent Partial Disability Rating 25% or Greater (03), Permanent Partial Disability Rating Less than 25% (04), Temporary Disability (05), Medical Only (06), or Compromised Death Claim (08). For claims shown as grouped, this provides the number of claims included in the group.

Insurer – A code used to identify the insurer that reported the payroll and claims data.

Issue Date – The date this Experience Rating Form was released.

Loss-Free Rating – Shown at the bottom of the Experience Rating Form is the experience modification that would have been calculated if \$0 (zero) actual losses were incurred during the experience period. This hypothetical rating calculation is provided for informational purposes only. Note that when there is only a single claim in the experience period, the experience modification is limited to be no higher than 25 points above the Loss-Free Rating.

Open/Closed – The claim status that is reported to the WCIRB.

Payroll – The payroll reported to the WCIRB by your insurer.

Policy Period – The effective date and expiration or cancellation date of the policy to which the payroll and claims apply.

Primary Threshold – Based on the total expected losses for the experience period and is in Table II of the ERP.

Workers' Compensation Insurance Rating Bureau of California
1221 Broadway, Suite 900
Oakland, CA 94612
888.229.2472
www.wcirb.com

ATTACHMENT 9 – SAFETY RECORD: DN TANKS

Attachment 9 – SAFETY RECORD

West Side Tanks and Pump Station Project

Contractor/Firm completing this report: DN Tanks

List any Occupational Safety Health Administration (OSHA) citation for violations of OSHA Standards and Requirements within the past five (5) years. Please explain each violation and the resulting penalties, if any.

See attachment

Has CONTRACTOR earned any industry safety awards in the past five (5) years? If so, please provide an explanation of award(s).

No

Workers Compensation

Identify if your firm is self-insured for Workers Compensation Insurance in California. If self-insured provide the self-insurance number and attach a certification in the Appendix to the proposal.

No

Provide the name of your Worker's Comp. Insurance Carrier(s) as well as their address, agent's name and telephone number.

Carrier: Zurich. 1400 American Lane, Schaumburg, IL 60196

Agent: Marsh & McLennan Agency LLC. (800) 321-4696

Provide the Average Lost Workday Incident Rates (LWIR), Average Recordable Incident Rates (RIR) and most recent Experience Modification Rate (EMR) in the format presented below.

Contractor's Average Lost Workday Incident Rates (LWIR) and the Average Recordable Incident Rates (RIR) are requested for evaluation of the safety history relating to the CONTRACTOR's construction operations only. Home office staff labor hours and the corresponding injury and illness figures for home office staff shall not be included in the calculation of these rates. Similar information for parent

RFP – West Side Tanks and Pump Station
Attachment 9 – Safety Record

Page 61 of 98

companies, subsidiaries, or other company divisions not directly engaging in construction activities shall not be considered in these rate calculations. All data used in the calculations shall be specific to the company operation who will construct this Project if awarded the Contract.

Average Lost Workday Incident Rate (LWIR)

Calculate and provide your company's LWIR for the past three (3) complete years in the format presented below. The lost workday information is listed on your OSHA forms No. 300 and 300A and is available from your workers' compensation insurance carrier.

LWIR = Total number of lost workday incidents X 200,000 Total employee hours worked

Table 9-1: LWIR

Year	# of Lost Workday Incidents	Total Employee Hours Worked	Lost Workday Incident Rate
1-2018	2	873,284	0.46
2-2017	3	864,753	0.69
3-2016	1	879,312	0.23
3 Year Average	2	872,450	0.46

Average Recordable Incident Rate (RIR)

Calculate and provide your firm's RIR for the past three (3) complete years in the format presented below. The Incident Rate information is listed on your OSHA forms No. 300 and 300A and is available from your workers' compensation insurance carrier.

RIR = Total number of recordable incidents X 200,000 Total employee hours worked

Table 9-2: RIR

Year	# of Recordable Incidents	Total Employee Hours Worked	Recordable Incident Rate
1-2018	13	873,284	2.98
2-2017	18	864,753	4.16
3-2016	15	879,312	3.41
3 Year Average	15	872,449	3.52

The Experience Modification Rate (EMR)

The EMR is established by the CONTRACTOR's workers' compensation insurance carrier and is based on the CONTRACTOR's loss history. CONTRACTOR can provide either its Intrastate or Interstate EMR.

ATTACHMENT 9: SAFETY RECORD
DN TANKS, Key Subcontractor - Specialty Tank Pre-Stressor

Identify either: () Intrastate (x) Interstate: _____

Provide your firm's EMR for the last three (3) complete years (this information is provided by your worker's comp. insurance carrier) in the format presented below.

Table 9-3: EMR

Year	EMR
1-2018	0.66
2-2017	0.69
3-2016	0.89
3 Year Average	0.75

END OF ATTACHMENT 9**

ATTACHMENT 9: SAFETY RECORD

DN TANKS, Key Subcontractor - Specialty Tank Pre-Stressor

Summary of OSHA Citations

Date	Company	Inspection #	Location	Department	Citation	Violation Type	Abated?	Penalty	Corrective Action
10/31/2016	DN Tanks	1192636	Stockbridge, MA	OSHA	Failure to provide ladder	Serious: Reduced	Abated	\$ 2,850.00	We worked with OSHA to identify a solution, and ultimately OSHA determined that we were in compliance.
9/16/2019	DN Tanks	1433192	Baltimore, MD	MOSH	No eye wash station within immediate work area	Serious	Abated/ Being contested	\$ 2,250.00	Eye wash implemented
9/16/2019	DN Tanks	1433192	Baltimore, MD	MOSH	Hazardous chemical container not labeled	Other Than Serious	Abated/ Being contested	\$ -	Container was labeled
9/16/2019	DN Tanks	1433192	Baltimore, MD	MOSH	SDS not readily available (electronic only) for hazardous chemicals	Other Than Serious	Abated/ Being contested	\$ -	SDS was printed

Date: 12/20/2019

Authorized Signature:



DN Tanks
Accident Prevention Safety Program
Corporate Safety Statement

DN Tanks is committed to the goal of having a work environment for all employees that is free of any unsafe acts, behaviors, work practices, or conditions, and is an environment that complies with all applicable safety and health regulations. To do this, employees must be aware of conditions in all work areas that can cause injuries or accidents to persons or property. No employee is required to work on a task that he or she recognizes as unsafe or unhealthy.

The objective of the DN Tanks Accident Prevention Safety Program is to create a culture that does not tolerate unsafe acts or conditions, resulting in the reduction of the number of injuries and illnesses, not merely in keeping with, but surpassing, the best experience of operations within the industry.

DN Tanks recognizes that the responsibilities for safety and health are shared as follows

- **DN Tanks** management accepts the responsibility for leadership of its Accident Prevention Safety Program, consistent implementation of its Accident Prevention Safety Program, for its effectiveness and improvement, and for providing the safeguards required to ensure safe working conditions. DN Tanks is committed to complying with applicable health and safety requirements and providing training to our employees, to ensure awareness, understanding, and responsibility of this important effort.
- **Supervisors and Managers** bear responsibility for the health of each employee under their direction and their individual commitment to eliminating potential hazards. Supervisors and Managers are responsible for developing the proper attitude toward safety and health for themselves and those they supervise, and for ensuring that all operations are performed with the utmost regard for the safety and health of all personnel.
- **Employees** are responsible for their wholehearted and genuine cooperation in all aspects of the safety and health program. These responsibilities include their compliance with all rules and regulations, consistently practicing safety while performing their job function, and reporting any unsafe work conditions, acts, or behaviors to their supervisors immediately.

Rev. 1-1-19

DN Tanks
Accident Prevention Safety Program
Corporate Safety Statement

Safety requires a sustained conscious effort and is regarded as the responsibility of each and every one of our employees.


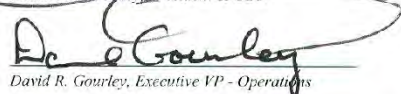
DN Tanks recognizes that there are three components of any successful project:

Safety *Quality* *Production*

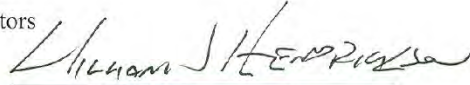
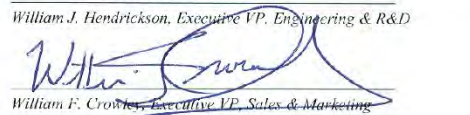
During the planning and execution of the work, these three elements shall share equal weight; however, it should be clear that the personal safety and health of each employee of DN Tanks, its sub-contractors and their employees, and any other persons doing business with DN Tanks or visiting a DN Tanks site or facility is of primary importance; "Their safety is our moral obligation." Prevention of injuries and illnesses is of such consequence that it will be given precedence over productivity and quality whenever necessary.


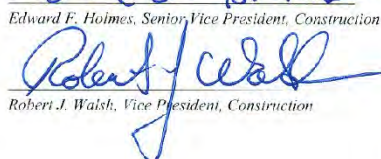
Our Employees are our most important asset—

their safety, our greatest responsibility.

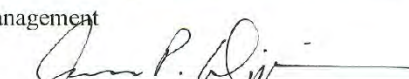
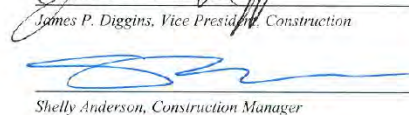

Charles F. Crowley, President & CEO

David R. Gourley, Executive VP - Operations

DN Tanks Board of Directors

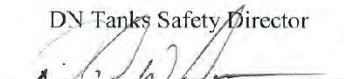

William J. Hendrickson, Executive VP, Engineering & R&D

William F. Crowley, Executive VP, Sales & Marketing


Edward F. Holmes, Senior Vice President, Construction

Robert J. Walsh, Vice President, Construction

DN Tanks Construction Management


James P. Diggins, Vice President, Construction

Shelly Anderson, Construction Manager

DN Tanks Safety Director


Daniel G. Wallace, Safety Director

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