

California Department of Transportation
Statewide ROCIP
Pre-Qualification Procedures

The Department has elected to implement a Rolling Owner Controlled Insurance Program (ROCIP) for selected projects throughout the State. Pursuant to Government Code Section 4420, the Department must conduct a pre-bid evaluation to assess whether prospective bidders meet minimum occupational safety and health qualifications established by the Department to bid or work on projects included in the Department's ROCIP. The evaluation will be based on the following information:

A. Number of serious and willful violations awarded during the past 5 years _____

_____ One or less. Prospective bidder/subcontractor is qualified.

_____ Two or more. Prospective bidder/subcontractor is conditionally qualified to bid on this project provided Contractor submits documentation indicating Contractor will hire a competent full-time on-site safety professional, as defined by CAL/OSHA, to provide oversight to all contractors who have two or more convicted serious and willful violations within the past 5 years, at the expense of the Contractor, prior to the commencement of work.

B. Latest Experience Modification _____

_____ 1.25 or Below. Prospective bidder/subcontractor is qualified.

_____ Greater than 1.25. Bidder/subcontractor is conditionally qualified provided Contractor submits documentation indicating Contractor will hire a competent full-time on-site safety professional, as defined by CAL/OSHA, to provide oversight to all contractors whose experience modification is greater than 1.25, at the expense of the Contractor, prior to the commencement of work.

C. Injury Illness and Prevention Plan contains the following six elements:

_____ **(1) Identification of the person or persons responsible for implementing the program.**

_____ **(2) Employer's system for identifying and evaluating workplace hazards including scheduled periodic inspections to identify unsafe conditions and work practices.**

_____ **(3) Employer's methods and procedures for correcting unsafe or unhealthy conditions and work practices in a timely manner.**

_____ **(4) Occupational health and safety training program designed to instruct employees in general safe work practices and specific instruction about hazards specific to each employee's job assignment.**

_____ **(5) Employer's system for communicating with employees on occupational health and safety matters, including a system to encourage employees to inform employer of hazards at the worksite without fear or reprisal.**

_____ **(6) Employer's system for ensuring employees comply with safe and healthy work practices which may include disciplinary action.**

In order to complete this evaluation, all prospective bidders must submit information and satisfy each of the minimum standards established by the Department to bid and participate in this project. For prospective subcontractors, this information must be completed and submitted for evaluation prior to ROCIP enrollment.

In order to assist prospective bidders with obtaining this information for themselves or prospective subcontractors, the following procedures are suggested:

(1) To determine the number of convicted serious and willful violations in the past 5 years:

- Go to the U.S. Department of Labor, Occupational Safety and Health Administration's link: <http://www.osha.gov/oshstats/>
- This will get you to a page entitled:
**Statistics & Data
Inspection Data**
- Select "Establishment Search." This will lead you to the "**Establishment Search Page.**"
- The window will appear with fields for entering:
 - " Establishment" – enter name of the contractor
 - "Case Status" - select "closed"
 - "Start Date" and "End Date" – use the default 5-year period.
- Click "Submit."
- On the "**Establishment Search Results Page,**" there is a column entitled "**Vio**" for violations.
- Is there are any violations, select the "**Activity**" number to see if the violation is: Serious, Willful, Repeat, Other, or Unclassified in the "Violation Summary" table.

(2) To determine the latest experience modification or validate active self-insured status:

- Prospective bidders can obtain evidence of their experience modification from their brokers or from their insurance companies, OR
- Experience modifications can also be accessed on Compline. Anyone can become a member and have access to experience modifications. Go to Compline's website at www.compline.com and click on "Becoming a Compline Member" and follow instructions. It may take a few days to get response from Compline.
- If the contractor is a qualified self-insurer for workers' compensation, to determine the certificate is active, access this website: <http://www.dir.ca.gov/sip/databases/sipsisr.htm>
Enter either the 4 digit self-insured number ("**SI Certificate number**") or the self-insured entity's name ("**Employer name**"). SIP status code should indicate "Active."

(3) To evaluate an injury illness and prevention program, the following six elements must be contained in the document:

- _____ (1) Identification of the person or persons responsible for implementing the program.
- _____ (2) Employer's system for identifying and evaluating workplace hazards including scheduled periodic inspections to identify unsafe conditions and work practices.
- _____ (3) Employer's methods and procedures for correcting unsafe or unhealthy conditions and work practices in a timely manner.
- _____ (4) Occupational health and safety training program designed to instruct employees in general safe work practices and specific instruction about hazards specific to each employee's job assignment.
- _____ (5) Employer's system for communicating with employees on occupational health and safety matters, including a system to encourage employees to inform employer of hazards at the worksite without fear or reprisal.
- _____ (6) Employer's system for ensuring employees comply with safe and healthy work practices which may include disciplinary action.