

**University of California,
Santa Barbara**



CM/General Contractor Level 1
Prequalification Documents for:
**Biology II 4th Floor Renovation
and
HVAC Modernization**

Project Number:
FM140250P

Office of Design &
Construction Services

February 2014



**University of California, Santa Barbara
Biology II 4th Floor Renovation and HVAC Modernization
Project No. FM140250P**

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**ADVERTISEMENT FOR
CM AT RISK CONTRACTOR PREQUALIFICATION**

(No Bids Are Being Accepted At This Time)

Subject to conditions prescribed by the University of California, Santa Barbara ("University"), responses to the University's Level 1 Prequalification Documents for a CM at Risk Contractor are sought from prospective bidders for the following University Project:

PROJECT NAME: Biology II 4th Floor Lab Renovation and HVAC Modernization

PROJECT NUMBER: FM140250P

PREQUALIFICATION OF PROSPECTIVE BIDDERS

The University has determined that bidders who submit bids on this project must be prequalified. Prequalified bidders will be required to pass the Level 1 Prequalification Evaluation (pass/fail), earn a minimum score under the Level 2 evaluation, and have the following California contractor's license:

B – GENERAL BUILDING

GENERAL DESCRIPTION OF WORK

This project will require the services of a qualified CM/General Contractor to provide preconstruction services (e.g., estimating, constructability, bidding, etc.) and construction services (e.g., coordinate and manage awarded subcontracts) for the following two projects:

Project 'A' (Biology II 4th Floor Renovation) will consist of the following:

Research Laboratory. Two lab areas will exist within the main laboratory suite; one on the north side (1,700 asf) and the other on the south side (2,300 asf). New utility services will be installed with fixtures for (air, gas, vac, dH₂O, H₂O), and electrical service will be extended from existing systems to the bench areas. Two 6' width fume hoods will be installed in each laboratory.

Equipment or Specialty Rooms. The research team will require a number of specialty and equipment rooms to conduct their research on *Drosophila*.

Offices. Two faculty member's offices will be situated on the east side of the 4th floor.

Demolition. The project will require selective demolition of the cabinetry, ductwork, electrical services, utility services (air, gas, vacuum), HVAC, and plumbing.

The estimated construction cost for Project A is \$3,700,000.



Project 'B' (HVAC Modernization) will update and improve the Biology II Building HVAC system. The building mechanical study overview has been completed, and the University recently issued a Request for Proposals to obtain architectural/engineering services associated with Project B. Project B will consist of:

Removing the existing supply booster fans and supply air filters on the third and fourth floors.

Replacing the existing rooftop exhaust fans on the east side of the building with two large exhaust fans (west side exhaust fans have already been replaced).

Installing variable frequency drives (VFDs) on the new rooftop exhaust fans.

Replacing the existing CAV mixing dampers with dual-duct VAV mixing boxes (third and fourth floor only).

Converting the existing CAV fume hoods to VAV operation (third and fourth floor only).

Installing zone control dampers and a ducted general exhaust system on floors one, two, and five.

Implementing supply air temperature reset control strategy.

Implementing static pressure reset control strategy.

The main hot and cold duct supply ducts are located in large vertical mechanical shafts on the north and south sides of the building. The exterior ductwork along with the fire dampers located at floors 1, 2 and 5 will be replaced including reconnection of floors 3 and 4.

The estimated construction cost for Project B is \$3,400,000.

Total estimated construction cost for Projects A and B is \$7,100,000.

PREQUALIFICATION SCHEDULE

Level 1 Prequalification Documents will be available online on the University Design and Construction Services website on February 6, 2014. Firms with qualifications that include experience in the construction of projects similar in scale, complexity and scope are encouraged to respond. The Prequalification Documents will be available for download on the above referenced date on the University Design and Construction Services planroom page at: <http://facilities.ucsb.edu/contracts/qualifications/>, or interested firms may contact Greg Moore, Associate Director, at greg.moore@dcs.ucsb.edu or (805) 893-3298 to request an electronic copy of the required Level 1 Prequalification Documents.

Five (5) copies of each firm's completed Level 1 Prequalification Documents must be submitted to the University in a sealed envelope by **February 20, 2014** at 2:00PM at the following address:

Attn: Greg Moore, Associate Director
Contracting Services
University of California, Santa Barbara
Facilities Management, Building 439, Room 'E'
Santa Barbara, CA 93106-1030



UNIVERSITY OF CALIFORNIA, SANTA BARBARA

Level 1 Prequalification Documents may not be accepted by the University from prospective bidders after 2:00PM. However, the University reserves the right to request, receive, and evaluate supplemental information after the above time and date at its sole discretion. The University reserves the right to reject any or all responses to Prequalification Documents and to waive non-material irregularities in any response received.

Interviews associated with the Level 2 evaluation, if deemed necessary by the University, and other prequalification evaluation activities will only be conducted with those prospective bidders that pass the Level 1 Prequalification Evaluation.

If a prospective bidder is determined by the University not to be prequalified, the prospective bidder may request a review by the University. Any such request must be received by the University within three (3) calendar days after receipt by the prospective bidder of the University determination. The decision resulting from such review is final and is not appealable within the University of California. Any person or entity not satisfied with the outcome of the prequalification must file a writ challenging the outcome within ten (10) calendar days from the date of the University's written notice regarding prequalification determination. Any assertion that the outcome of the prequalification process was improper will not be ground for a bid protest.

ANTICIPATED BIDDING SCHEDULE (FOR PREQUALIFIED BIDDERS ONLY)

The exact dates, times, and location for acceptance of bids will be set forth in an **"Announcement to Prequalified Bidders"** and the **"Advertisement for Bids,"** but the anticipated and tentative bid schedule is as follows:

1. Bidding Documents Available to Prequalified Bidders – March 24, 2014
2. Mandatory Pre-bid Meeting – April 8, 2014
3. Bids Received and Opened – April 24, 2014

All insurance policies required to be obtained by Contractor shall be subject to approval by University for form and substance. The Certificate of Insurance shall be issued on the University's form.

All information submitted for prequalification evaluation will be considered official information acquired in confidence, and the University will maintain its confidentiality to the extent permitted by law. The work described in the contract is a public work subject to section 1771 of the California Labor Code.

AFFIRMATIVE ACTION STATEMENT

Every effort will be made to ensure that all persons shall have equal access to contracts and other business opportunities with the University, regardless of: race; color; religion; sex; age; ancestry; national origin; sexual orientation; physical or mental disability; veteran's status; medical condition; genetic information; marital status; gender identity; pregnancy; service in the uniformed services; or citizenship within the limits imposed by law or University's policy.

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA

Ad dates: 2/7/14, 2/13/14



I. PREQUALIFICATION QUESTIONNAIRE

1. GENERAL INSTRUCTIONS

As used herein, the term “entity” means the prospective CM/General Contractor submitting this Level 1 Prequalification Questionnaire regardless of whether the entity is an individual company, joint venture, or partnership. Please note that the term “prospective Bidder” may sometimes be used interchangeably with the term “entity” or “Bidder”.

Each prospective Bidder must provide a response to all of the following questions and all requested information, as required. Any prospective Bidder failing to do so may, at the University’s sole discretion, be deemed to be not responsive and not prequalified with respect to this Prequalification.

All Bidders that have submitted a Prequalification Questionnaire will be notified in writing of whether or not they have successfully achieved Level 1 Prequalification status. Only those Bidders that have successfully achieved Level 1 Prequalification status will be permitted to participate in the Level 2 prequalification evaluation process. Only those Bidders that successfully achieve Level 2 Prequalification status by earning more than the predetermined minimum evaluation score will be eligible to submit a bid for this Project.

If the prospective Bidder is determined by the University to be “not prequalified”, the prospective Bidder may request a review by the University. Any such request must be received by the University within 3 calendar days after the prospective Bidder’s receipt by of the determination. The decision resulting from such review is final and is not appealable within the University of California. Any person or entity not satisfied with the outcome of the prequalification must file a writ challenging the outcome within 10 calendar days from the date of the University’s written notice regarding prequalification determination. Any assertion that the outcome of the prequalification process was improper will not be a ground for a bid protest.

All information submitted for prequalification evaluation and marked as “confidential” will be considered official information acquired in confidence, and the University of California will maintain its confidentiality unless: (1) the University determines that it is required to release the information to a third party pursuant to the requirements of the California Public Records Act; or (2) the University is required by court order to release the information to a third party pursuant to the requirements of the California Public Records Act.

All other information submitted for Prequalification evaluation will be considered official information acquired in confidence, and the University will maintain its confidentiality to the extent permitted by law.

WHERE NECESSARY, COPY THE FORMS IN THIS PACKAGE. USE ONLY THESE FORMS.

2. LICENSE(S)

- A. Does the entity hold the following California contractor's license(s), which is current active, and in good standing with the California Contractor's State License Board?

License Classification: General Building Contractor

License Code(s): B

YES NO

(NOTE -The entity submitting this prequalification questionnaire must be the holder of the requisite license. If the entity submitting is a Joint Venture, the joint venture must hold the license, or have applied for the license(s), and possess the required Construction Experience set forth below under paragraph 10.)

- B. If question "2A" above was marked "YES", provide the following information about the entity's contractor's license:

1. Name of license holder exactly as on file with the California Contractor's State License Board:

2. License Number(s): _____

- C. Has the entity's contractor's license been suspended or revoked by the California Contractor's State License Board within the last 5 years?

YES NO

3. SAFETY PROGRAM

- A. Does the entity have a written Injury and Illness Prevention Program (IIPP) that complies with Title 8 of the California Code of Regulations?

YES NO

- B. Does the entity have a written safety program that meets CAL/OSHA requirements?

YES NO

- C. Has the entity had any Cal-OSHA fines in the Serious, Repeat or Willful categories within the past five (5) years?

YES NO

Note: Failure to answer "Yes" to question "2(A)", and a failure to answer "No" to question 2(C)" listed above will result in the Bidder being deemed "not pre-qualified," thereby eliminating that firm from further consideration in the competitive process. Further, Bidder's failure, determined at the University's sole discretion, to answer "No" to Question 3(C) or to provide an acceptable explanation for a "Yes" response to question "3(C)" will result in the Bidder being deemed "not pre-qualified," thereby eliminating that firm from further consideration in the competitive process.

4. DISCIPLINARY MEASURES HISTORY

Has the entity (or any member of the entity if a joint venture or partnership) under its current name or under any other alias been disqualified or otherwise barred from doing business with a public agency (e.g., federal, state, county, city, University of California System, California State University System, school district,) within the last five (5) years?

YES NO

5. FALSE CLAIMS HISTORY

Has the entity (or any member of the entity if a joint venture or partnership) been found in a final decision of a court to have submitted a false claim to a public agency (e.g., federal, state, county, city, University of California System, California State University System,) within the last five (5) years?

YES NO

6. LIQUIDATED DAMAGES

In the last five years, has the entity been assessed liquidated damages of more than \$5,000 on a construction contract with either a public or private owner?

YES NO

7. TERMINATION

Has the entity (or any member of the entity if a joint venture or partnership) been terminated for cause by an Owner or public agency after construction commenced within the last five (5) years?

YES NO

Note: Failure to answer "No" to questions "4" and "5" or provide, in the University's sole discretion, an adequate written explanation for a "NO" response will result in the Bidder being deemed "not pre-qualified", thereby eliminating that firm from further consideration in the competitive process. Failure to answer "No" or provide an acceptable explanation for a "Yes" response to questions "6" and "7" above will result in the Bidder being deemed "not pre-qualified," thereby eliminating that firm from further consideration in the competitive process.

8. SURETY

Prospective Bidder shall obtain and submit the Surety Declaration in the form shown below in paragraph 8(E) below, signed and notarized by an authorized representative of the proposed surety for this project.

- A. Is the surety to be used for this project authorized by the Insurance Commissioner to transact business in the State of California as an admitted surety insurer (as defined in the California Code of Civil Procedure Section 995.120)?
- YES NO
- B. Is the entity able to obtain (payment and performance) bonding for **\$7,100,000**?
- YES NO
- C. Has any surety paid out any monies on claims on the performance bond issued by a surety for the benefit of the Owner arising out of the construction activities of the entity within the last five (5) years?
- YES NO
- D. Has any surety paid out any monies on claims on the payment bond issued by a surety for the benefit of the Owner arising out of the construction activities of the entity within the last five (5) years?
- YES NO

Note: Failure to answer "YES" to questions "8A" and "8B" above AND provide the completed Surety Declaration below under "8E" will result in the Bidder being deemed "not pre-qualified", thereby eliminating that firm from further consideration in the competitive process. Further, a Bidder's failure to answer "No" or, in the University's sole discretion, provide an acceptable explanation for a "Yes" response to question "8C" or "8D" will result in the Bidder being deemed "not pre-qualified", thereby eliminating that firm from further consideration in the competitive process.

E. Surety Declaration:

PROVIDE THIS DECLARATION TO YOUR SURETY(IES) FOR COMPLETION AND PROVIDE WITH YOUR LEVEL 1 SUBMITTAL. DO NOT HAVE YOUR SURETY SUBMIT THIS INFORMATION DIRECTLY TO THE UNIVERSITY.

The undersigned declares under penalty of perjury that the bonding capacity indicated above in question 8(B) is true and correct and that this declaration was executed in

_____ (County), _____, (State)
on _____ (Date).

(Signature)

(Name and Title - Printed or Typed)

(Representing [Surety Name])

(Entity Name)

(Address)

(City, State, Zip Code)

(Telephone Number)

(Facsimile Number)

(E-mail)

(ATTACH NOTARIZATION of SURETY REPRESENTATIVE'S SIGNATURE)

10. CONSTRUCTION EXPERIENCE (COMPARABLE PROJECTS)

Your firm, acting in the role of General Contractor and/or Construction Manager at Risk/ General Contractor must have successfully completed at least two (2) comparable projects in within the last seven (7) years. List comparable projects on the attached Project Data Sheet (see Attachment 'A').

Each of the two comparable projects must meet each element of the criteria listed below.

- A. Subject to the above qualifications, a comparable project is defined as having the following characteristics:
1. A construction cost at the bid date of at least \$3,000,000; AND
 2. Type I or II Multistory Construction; AND
 3. At least two (2) of the following construction challenges/characteristics:
 - a. Laboratory Construction (Either new or renovation);
 - b. Significant Mechanical, Electrical Plumbing work;
 - c. A public works project for the University of California, or other municipal, state, or federal entity.
- B. An entity wishing to use a predecessor business to satisfy prequalification requirements must demonstrate with written information submitted with this Prequalification Questionnaire that it is substantially the same organization (in terms of who is managing Bidder) as the predecessor business. An entity may meet the requirement of the preceding sentence by demonstrating that the same person is the qualifying individual (under California Contractor's License Law) for:
1. Contractor's license of Bidder which shall be the same type as license required for the Contract; and
 2. Contractor's license of predecessor business which shall also be the same type as the license required for the Contract.

Note: Failure to submit a description of AT LEAST TWO (2) comparable projects on the attached Project Data Sheet (see Attachment 'A') that satisfy the requirements set forth above in question "10A" will result in the Contractor being deemed "not pre-qualified", thereby eliminating that firm from further consideration in the competitive process.

II. PREQUALIFICATION DECLARATION

I, _____ (Printed Name),
hereby declare that I am the _____ (Title)
of _____ (Name of Entity)
submitting this Prequalification Questionnaire; that I am duly authorized to sign this
Prequalification Questionnaire on behalf of the above named entity; and that all
information set forth in this Prequalification Questionnaire and all attachments hereto
are, to the best of my knowledge, true, accurate and complete as of its submission date.

The undersigned declares under penalty of perjury that all of the prequalification
information submitted with this form is true and correct and that this declaration was
executed in

_____ (County), _____ (State) on _____ (Date).

(Signature)

(Printed Name)

(Address)

(City, State, Zip Code)

(Telephone Number)

(Facsimile Number)

(E-mail - optional)

COMPLETE AND SUBMIT THE FOLLOWING PROJECT DATA SHEET FOR EACH COMPARABLE PROJECT SUBMITTED AS EVIDENCE OF THE ENTITY'S EXPERIENCE.

ATTACHMENT 'A'
PROJECT DATA SHEET

(A separate sheet must be prepared for each project submitted.)

1. Project Name: _____

2. Project Location (including full address, if any):

City: _____ State: _____ Zip: _____

3. Project Description: _____

4. Construction Type: _____

5. Size (gross sq. ft.): _____

6. Business name of entity which constructed this project:

7. Did your entity act as a General Contractor during the entire project?

YES NO

8. Did your firm act as a Construction Manager at Risk/General Contractor during the construction phase for this project?

YES NO

9. Did your firm also provide pre-construction services on this project?

YES NO

Please list preconstruction services provided:

10. Explain how is this project comparable to the UCSB project to be bid?

_____ [provide separate written detail, if necessary] _____

11. Cost At Bid: \$ _____

Cost At Completion: \$ _____

12. Describe the sources and/or causes of the above differences in costs with reference to the following categories:

Document Problems:	\$ _____
Unforeseen Conditions:	\$ _____
Owner Generated Scope:	\$ _____
Regulatory Agency:	\$ _____
Other:	\$ _____

Explain Other: _____

13. Was construction of the project completed within the last seven (7) years?

YES NO

Start Date (NTP): _____ Completion Date: _____

14. _____ Contract Time at bid date (Number of calendar days)

_____ Formally adjusted Contract Time (Number of calendar days; if not adjusted, state "Not Applicable")

If completion did not occur within the Contract Time at bid date or within the formally Adjusted Contract Time, then explain the reason or reasons for the delay:

15. Were either liquidated damages or actual damages for delay assessed on this project?

YES NO

16. Project Owner Name: _____

Project Owner Address: _____

City: _____ State: _____ Zip: _____

(Telephone Number) _____ (Facsimile Number) _____

E-mail Address-optional: _____

17. Design Professional (e.g. the name of the Architect or Engineer of record)

Subconsultants (including structural engineer and mechanical engineer, if any):

Structural Engineer

Contact Name: _____ (Telephone Number) _____

Design Professional _____

Contact Title: _____

E-mail Address: _____

(Attach additional pages with other pertinent project information as necessary.)