

University of California,
Santa Barbara



**LEVEL 1
GENERAL
CONTRACTOR
PREQUALIFICATION
DOCUMENTS FOR:**

North Campus Faculty
Housing – Phase III

Project Number:
FM140471P

April 2014



**University of California, Santa Barbara
North Campus Faculty Housing – Phase III
Project Number: FM140471P**

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**ADVERTISEMENT FOR
GENERAL CONTRACTOR PREQUALIFICATION (BEST VALUE SELECTION)**

(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 General Contractor (Best Value Selection) are sought from prospective bidders for the following University Project:

**NORTH CAMPUS FACULTY HOUSING – PHASE III
PROJECT NUMBER: FM140471P**

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

As currently designed, the project consists of thirty-one (31) detached single family residences with attached garages, although there is a possibility that some of these residences may be redesigned as attached multifamily units prior to bidding. The homes are intended to be sold to faculty upon completion. Construction is Type V wood-frame sprinklered construction. The single family residences, as currently designed, are two and three stories, have either three or four bedrooms, and range in size from approximately 1,800 to 2,800 square feet gross. The total project amounts to approximately 55,000 square feet of conditioned square footage with approximately 20,000 additional square feet dedicated to unconditioned garages, patios, and decks. The exterior styles of the homes include Spanish, Spanish Bungalow, and Craftsman. Exterior finishes are commensurate with the styles noted and include composite wood shake, composite lapped horizontal siding, and smooth troweled plaster.

This project is the third phase in a five phase development. The first two phases have been completed and are occupied by owners. The overall development site is approximately twenty-three (23) acres of which approximately four (4) acres are involved in this phase. Work includes construction of the described residences, tie-in to existing utilities on-site, landscape and associated irrigation, hardscape and some grading and roadwork. The final project may include road improvements and minor underground utility work for future phases.

The project site includes environmentally sensitive wetlands, has ongoing native vegetation restoration activities, and is regulated under a Storm Water Pollution Prevention Plan [SWPPP] through the State Water Resources Control Board.

Construction start is estimated to be October 2014

The estimated construction cost is approximately \$13,000,000.

PREQUALIFICATION SCHEDULE

Level 1 Prequalification Documents will be available online on the University Design and Construction Services website on April 25, 2014. Firms with qualifications that include experience in the construction of projects similar in scale, complexity and scope are encouraged to respond.

University of California, Santa Barbara
North Campus Faculty Housing – Phase III
Project Number: FM140471P

The Prequalification Documents will be available for download on the above referenced date on the University Design and Construction Services web 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 **May 9, 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

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.

ANTICIPATED BIDDING SCHEDULE FOR PREQUALIFIED BIDDERS

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/tentative bid schedule is as follows:

1. Bidding Documents Available to Prequalified Bidders – July 31, 2014
2. Mandatory Pre-bid Meeting – August 14, 2014
3. Bids Received and Opened – August 22, 2014

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.

ADDITIONAL INFORMATION

The methodology used to determine Best Value will be described in the forthcoming Bidding Documents. In summary, the lowest responsible bidder will be selected by the University on the basis of the objective criteria described in the Bidding Documents with the resulting selection representing the best combination of price and qualifications.

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

University of California, Santa Barbara

Published: 4/24/14, 4/29/14

**LEVEL 1 PREQUALIFICATION QUESTIONNAIRE
for
NORTH CAMPUS FACULTY HOUSING – PHASE III**

Each prospective Contractor (also referred to herein as “Bidder”) must answer all of the following questions and provide all requested information. Any prospective Contractor failing to do so may, at the sole discretion of the University of California, Santa Barbara (“University”), be deemed ‘not prequalified’ with respect to this prequalification evaluation. All Level 1 requirements will be evaluated on a pass/fail basis. All Contractors that have submitted a Level 1 Prequalification Questionnaire will be notified in writing whether or not they have successfully achieved Level 1 Prequalification status. Only those Contractors that have successfully achieved Level 1 Prequalification status will be permitted to participate in the Level 2 Prequalification process, including firm interviews. Those Contractors that successfully achieve Level 2 Prequalification status will be determined to be prequalified and only those prequalified Contractors will be eligible to submit a bid for this Project.

If the Bidder is deemed by the University to be “not pre-qualified,” the Bidder may request a review of that decision by the University. The decision resulting from such review is final and is not appealable within the University of California.

SUBMITTED BY:

(Name and Title) Printed or Typed

(Signature)

(Firm Name. If a Joint Venture, state name of JV Entity)

(Contact Name)

(Address)

(City, State, Zip Code)

(Telephone Number)

(Facsimile Number)

(e-mail Address)

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.

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

1. PREQUALIFICATION DECLARATION

I, _____, hereby declare that I am the
(Printed Name)

_____ of _____
(Title) (Name of Firm)

submitting this Prequalification Questionnaire; that I am duly authorized to sign this Prequalification Questionnaire on behalf of the above named firm; 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)

If the above is signed by other than the sole proprietor, a general partner, or corporate officer, attached original notarized power of attorney or corporate resolution.

2. LICENSE

- A. Does your firm hold the following California contractor's license, which is current, valid, and in good standing with the California Contractor's State License Board?

License Classification: General Building Contractor

License Code: 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. If the entity submitting is a partnership, the partnership must hold the license)

- B. If yes, provide the following information about your firm's contractor's license:

- 1. Name of license holder exactly as on file with the California Contractor's State License Board: _____
- 2. License Classification: _____
- 3. License Code: _____
- 4. License Number: _____
- 5. Date Issued: _____
- 6. Expiration Date: _____

- C. Has your firm's contractor's license been suspended or revoked by the California Contractor's State License Board within the last 10 years?

YES NO

- D. If the entity submitting this prequalification questionnaire is a Joint Venture or partnership, has any member of the Joint Venture or partnership has had their firm's contractor's license suspended or revoked by the California Contractor's State License Board within the last 10 years?

YES NO NOT APPLICABLE

Note: Failure to answer “Yes” to question “2A”, and “No” to questions “2C” (or “2D”, if applicable) above will result in the Bidder being deemed “not pre-qualified”, thereby eliminating that firm from further consideration in the competitive process.

3. SURETY

Prospective Contractors shall obtain and submit the Surety Declaration in the form shown below under paragraph 3.D, which shall be signed by an authorized representative of the surety proposed to be used for this project and notarized. (NOTE -If firm has used current surety for less than ten years, list all surety(ies) previously used and indicate the number of years such sureties were used for the last ten (10) years. If entity submitting this prequalification document is a joint venture or a partnership, provide such information for each member or partner).

- A. Is the surety to be used for this project authorized by the Insurance Commissioner to transact business of insurance in the State of California?

YES NO

- B. Is the prospective Contractor able to obtain payment and performance bonding for the Estimated Construction cost of \$17,500,000?

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 prospective Contractor within the last ten (10) years?

YES NO

1. If the entity submitting this prequalification questionnaire is a Joint Venture, 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 any member of the Joint Venture within the last ten (10) years?

YES NO NOT APPLICABLE

Note: Failure to answer “Yes” to questions “3A” and “3B” above will result in the Bidder being deemed “not pre-qualified”, thereby eliminating that firm from further consideration in the competitive process. A Bidder’s failure to provide an acceptable explanation for a “Yes” response to question “3C” (or “3C.1”, if applicable) will result in the Bidder being deemed “not pre-qualified”, thereby eliminating that firm from further consideration in the competitive process.

D. Surety Declaration:

BIDDER MUST PROVIDE THE FOLLOWING DECLARATION TO ITS SURETY(IES) FOR COMPLETION/EXECUTION, AND RETURN THE SIGNED DECLARATION TO THE UNIVERSITY AS PART OF ITS BID SUBMITTAL. DO NOT HAVE THE SURETY SUBMIT THIS INFORMATION DIRECTLY TO THE UNIVERSITY.

The undersigned declares under penalty of perjury that the bonding capacity indicated above 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])

(Firm Name)

(Address)

(City, State, Zip Code)

Telephone Number)

(Facsimile Number)

(Email Address)

(ATTACH NOTARIZATION of SURETY REPRESENTATIVE'S SIGNATURE)

4. INSURER

Prospective Contractor shall obtain and submit the Insurance Declaration in the form shown below under paragraph 4.D, which shall be signed by an authorized representative of its insurer and notarized. (If more than one insurer, submit a completed form for each insurer).

A. Is the insurer listed below to be used for all required insurance (except Workers Compensation) listed by Best with a rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody's)?

YES NO

Indicate Best Rating: _____

Indicate Best Financial Classification: _____
(or provide Standard & Poor or Moody's rating)

B. Is the insurer to be used for Workers Compensation insurance State Fund or, alternatively, listed by Best with a rating of B+ or better, and also have a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody's)?

YES NO

Indicate Best Rating: _____

Indicate Best Financial Classification: _____
(or provide Standard & Poor or Moody's rating)

C. Is the prospective Contractor able to obtain insurance in the following limits for this construction contract?

YES NO

1. If the entity submitting this prequalification questionnaire is a Joint Venture, can the Joint Venture entity itself obtain insurance in the following limits for this construction contract?

YES NO NOT APPLICABLE

Commercial Form General Liability Insurance - Limits of Liability	Minimum Requirement
Each Occurrence - Combined Single Limit for Bodily Injury and Property Damage	\$3,000,000
Products - Completed Operations Aggregate	\$5,000,000
Personal and Advertising Injury	\$3,000,000
General Aggregate	\$5,000,000
Business Automobile Liability Insurance - Limits of Liability	
Each Accident - Combined Single Limit for Bodily Injury and Property Damage	\$1,000,000

Note: Failure to answer "Yes" to questions "4A", "4B" and "4C" (or "4C.1", if applicable) above will result in the Bidder being deemed "not pre-qualified", thereby eliminating that firm from further consideration in the competitive process.

D. Insurance Declaration:

BIDDER MUST PROVIDE THE FOLLOWING DECLARATION TO ITS INSURANCE CARRIER FOR COMPLETION/EXECUTION, AND RETURN THE SIGNED DECLARATION TO THE UNIVERSITY AS PART OF ITS BID SUBMITTAL. DO NOT HAVE THE INSURANCE CARRIER SUBMIT THIS INFORMATION DIRECTLY TO THE UNIVERSITY.

The undersigned declares under penalty of perjury that all of the above insurer information is true and correct and that this declaration was executed in

_____ (County), _____, (State)

on _____ (Date).

(Signature)

(Name and Title - Printed or Typed)

(Representing [Insurer Name])

(Firm Name)

(Address)

(City, State, Zip Code)

(Telephone Number)

(Facsimile Telephone Number)

(Email Address)

(ATTACH NOTARIZATION of INSURER REPRESENTATIVE'S SIGNATURE)

5. SAFETY PROGRAM

A. Does your firm have a written Injury and Illness Prevention Program (IIPP) that complies with California Code of Regulations, Title 8, Sections 1509 and 3203?

YES NO

B. Does your firm have a written safety program that meets CAL/OSHA requirements?

YES NO

C. Have you had accidents, which resulted in a construction fatality, on any of your projects within the last five (5) years?

YES NO

If yes, provide additional information. _____

D. Have you had Cal-OSHA fines in the Serious, Repeat or Willful categories?

YES NO

If yes, provide additional information. _____

E. Attach verification of EMR scores for the last five years from State of California or from insurance company.

EMR Average for last 5 years: _____

[Item "E". is not part of the Level 1 pass/fail evaluation and is informational only]

Note: Failure to answer "Yes" to questions "5(A), 5(B) and 5(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 to provide an acceptable explanation, determined at the University's sole discretion, for a "Yes" response to question "5(C) and "5(D)" will result in the Bidder being deemed "not pre-qualified", thereby eliminating that firm from further consideration in the competitive process.

6. DISCIPLINARY MEASURES HISTORY

A. Has your firm been disqualified or barred from doing business with a public agency (e.g., federal, state, county, city, University of California System, California State University System, etc.) within the last ten (10) years?

YES NO

If NO, please explain: _____

1. If the entity submitting this prequalification questionnaire is a Joint Venture, have any members of the Joint Venture been disqualified or barred from doing business with a public agency (e.g., federal, state, county, city, University of California System, California State University System, etc.) within the last ten (10) years?

YES NO NOT APPLICABLE

If NO, please explain: _____

Note: Failure to answer “No” to questions “6(A)” (or “6(A)(1)”, if applicable) or provide an adequate explanation, at the University’s sole discretion, 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.

7. FALSE CLAIMS HISTORY

- A. Has your firm 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, etc.) within the last ten (10) years?

YES

NO

If NO, explain: _____

- 1. If the entity submitting this Prequalification questionnaire is a Joint Venture, has any member of the Joint Venture 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, etc.) within the last ten (10) years?

YES

NO

NOT APPLICABLE

If NO, explain: _____

Note: Failure to answer “No” to questions “7(A)” (or “7(A)(1)”, if applicable) or provide an adequate explanation, determined at the University’s sole discretion, 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.

8. CONSTRUCTION EXPERIENCE (COMPARABLE PROJECTS)

Your firm, acting in the role of General Contractor must have successfully completed at least three (3) comparable projects since May 1, 2004. List projects on the attached Project Data Sheet (see Attachment “A”), identifying which of the criteria listed below in sub paragraph 8(A) have been met by that project.

- A. Subject to the above qualifications, the three (3) comparable projects submitted by the prospective Bidder must satisfy the following requirements:
1. A hospitality or residential project; AND
 2. A construction cost at the bid date of at least \$6,000,000; AND
 3. Type V Multistory Construction; AND
 4. At least one (1) of the following construction challenges/characteristics:
 - a. Affordable housing units/homes for sale on the residential market.
 - b. Twenty (20) or more units constructed.
 - c. Involved phased construction in which a portion of the project was occupied prior to completion.
 - d. Project site was identified as having environmentally sensitive habitat, or historically significant structures, and related protection requirements.
 - e. A public works project for a college/university, or other municipal, state, or federal entity.
- B. If the entity submitting this prequalification questionnaire is a Joint Venture, the Joint Venture entity itself must demonstrate the required previous construction experience as a joint venture. Joint Venture teams newly formed to pursue this prequalification opportunity are not eligible for Level 1 prequalification.
- C. Listed projects must have been constructed by the business entity submitted for Level 1 prequalification. Projects completed by present employees of the contractor for former employers are not acceptable.

Note: Failure to submit AT LEAST THREE (3) comparable projects that satisfy the requirements set forth above in question “8” will result in the Contractor being deemed “not pre-qualified”, thereby eliminating that firm from further consideration in the competitive process.

COMPLETE AND SUBMIT THE FOLLOWING PROJECT DATA SHEET FOR EACH COMPARABLE PROJECT SUBMITTED AS EVIDENCE OF YOUR FIRM’S EXPERIENCE.

ATTACHMENT ‘A’
PROJECT DATA SHEET

(A separate sheet must be prepared for each project submitted. COPY, AS NECESSARY)

1. Project Name: _____

2. Project Location/Facility: _____

3. Project Description: _____

4. Project Delivery Method (Lump Sum, Cost Plus Fixed Fee):

5. Construction Type: _____

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

7. Business name of entity which constructed and managed this project: _____

8. a. Did your firm act as a General Contractor during the construction phase for this project?

YES NO

Please list any Joint Venture Partners on this project, if any.

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

[provide separate written detail, if necessary] _____

10. Cost At Bid: \$ _____

Cost At Completion: \$ _____

11. 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: _____

12. Was construction of the project completed after May 1, 2004?

YES NO

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

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

_____ Actual Elapsed Time between issuance of Notice To Proceed and date of final completion (Number of calendar days)

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:

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

YES NO

15. Were any back charges or claims filed on the project?

YES NO

16. If claims were filed on the project, please provide the following details for each claim:

a. Dollar Amount of Initial Claim: _____

b. Source of Claim (e.g., Subcontractor, etc.): _____

c. Method of resolution (e.g., negotiation, mediation, arbitration, litigation): _____

17. Name of Project Manager: _____

18. Name of Project Superintendent: _____

19. Name of Project Engineer: _____

20. Did your firm self-perform any of the work?

YES NO

If yes, please specify the trades your firm self-performed:

21. CLIENT INFORMATION:

Client Firm Name: _____

Client Contact: _____ Title: _____

Client Address: _____

Client City: _____ State: _____ Zip: _____

Client Phone: (____) _____ Fax: (____) _____

Client E-mail Address: _____

Architect/Engineer/
Consultants: _____

Architect/Engineer
Contact Name: _____ Phone: _____

Architect/Engineer
E-mail Address: _____

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