

University of California,
Santa Barbara



**LEVEL 1
DESIGN-BUILD
CONTRACTOR
PREQUALIFICATION
DOCUMENTS**

PROJECT NAME:

Pauley Track Renovation

PROJECT NUMBER:

FM160291P

February 12, 2016



University of California, Santa Barbara
Project Name: Pauley Track Renovation
Project No.: FM160291P

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**NOTICE TO PROSPECTIVE DESIGN-BUILD PROPOSERS
OF LEVEL 1 PREQUALIFICATION**

Subject to conditions prescribed by the University of California, Santa Barbara, responses to the University's prequalification documents for a Design-Build contract are sought from proposers for the following project:

PROJECT NAME: PAULEY TRACK RENOVATION
PROJECT NO: FM160291P

GENERAL

The University's primary objective in utilizing the design build approach is to bring the best available integrated design and construction experience to this project. The University has determined that proposers who submit proposals on this project must be prequalified. Prequalified proposers will be required to satisfy the requirements set forth in the Level 1 Prequalification Questionnaire, including the possession of the following valid and current California contractor's license:

General Engineering
License Classification

A
License Code

SUMMARY OF WORK

Background

The artificial track located on the University of California, Santa Barbara campus was built circa 1975, but by 1995 the track was worn out and tree roots had created bulges and cracks in the track surface. The University was no longer able to host track meets although the track is still used for track practice. Despite two attempts to remedy the condition of the running surface, the track has continued to worsen.

Project Description

The project will reconstruct the track surface and field event areas bringing them into conformity with relevant competition standards, and making it suitable for competitive activity, which will include associated improvements such as compartment boxes for timing equipment, a concrete walkway and fence that will surround the exterior of the track for spectator circulation and separation, and a new LED lighting system to increase recreational opportunities for the campus population. Areas of the existing infield area will be restored with topsoil and seeding. Drainage will be improved with the installation of slot drains and swales, and irrigation adjusted to conform to the new configuration. A root barrier will also be installed to protect the facility from root intrusion.

As described, the current project will be delivered via a design-build approach. Accordingly, D.A. Hogan & Associates was retained by the University to provide limited programming and concept design services, and develop a set of design-build 'bridging' documents that will be issued by the University to prospective design-build contractors. The programming information and concept design developed by D.A. Hogan & Associates has been used in the formulation of a cost estimate to established a maximum anticipated project cost relative to the University's project goals.

Based on the program and concept design, “bridging documents” will be compiled to describe the project design criteria. The purpose of the bridging documents is to provide enough information on project requirements and specifications, to enable design-build contractors bidding for the project to submit a responsive proposal. The successful proposer will be contracted to complete the final design and construct the facility based on the design criteria described within the bridging documents.

Estimated design-build project cost: \$2,200,000 - \$2,500,000

DESIGN-BUILD CONTRACTOR PREQUALIFICATION PROCEDURES

The prequalification process will be conducted in two steps (or “Levels”) and will result in the selection of a number of prequalified finalists who will be issued proposal documents for this Project. Only Level I/ Level II prequalified proposers will be permitted to submit a Design-Build proposal. The technical proposals will be scored according to an established scoring system. The price will be divided by the score to determine a price per technical point. The prequalified proposer submitting the lowest price per technical point will be the apparent low proposer for the Project.

Level I will include the submittal of Level 1 Design-Build Contractor Prequalification Documents described in more detail below. After receipt of the prospective proposers’ completed Level 1 prequalification documents, the University will review and determine whether each firm passed or failed. Passing firms will be invited to interviews conducted by the University as part of the Level 2 evaluation and selection process.

A proposer who does not pass the Level 1 evaluation will be excluded from further consideration in the prequalification process and will not be permitted to participate in the Level II interviews.

Level II will include the Design-Build team interviews. Proposers will be notified whether or not they have been selected for Level II interviews. The results of the Level II interview will be separately scored based on an established rating system that will be issued by the University in the Announcement to Level 2 Prequalified Proposers, which will be issued prior to the scheduled interviews. Both prior to and after the Level II interviews, the University may issue requests for clarification and/or supplemental information from the participating firms.

LEVEL 1 PREQUALIFICATION SCHEDULE

On February 12, 2016 the Level 1 Prequalification Documents will be posted on the UCSB Contracting Services website at <http://web.facilities.ucsb.edu/contracts/qualifications/> for review and/or download.

Firms may contact Croft Yjader, University Representative, at croft.yjader@dcs.ucsb.edu for assistance or additional information.

Each prospective proposer must submit five (5) hard copies of each firm’s completed Level 1 Prequalification Documents and an electronic (.pdf) copy of its proposal that is stored on either a CD or thumb drive. The submittal package must be delivered to the University by **February 24, 2016 at 4:00 PM** at the following address:

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

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.

If a prospective proposer is determined by the University not to be prequalified, the prospective proposer may request a review by the University. Any such request must be received by the Facility within three (3) calendar days after receipt by the prospective proposer 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 grounds for a proposal (bid) protest.

TENTATIVE LEVEL 2 PRE-QUALIFICATION SCHEDULE

Following is the tentative schedule for the LEVEL II prequalification stage:

1. Level 2-Interview Notice and Request for Level 2 Submittals- March 4, 2016
2. Level 2- Mandatory Site Visit– March 10, 2016
3. Level 2-Proposers Submit Materials- March 10, 2016
4. Level 2- Mandatory Interviews- March 17, 2016

Only Level 1/Level 2 prequalified firms will be permitted to submit a project proposal.

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 successful proposer and its subcontractors will be required to follow the nondiscrimination requirements set forth in the Bidding/Proposal Documents and to pay prevailing wage at the location of the work. The work described in the contract is a public work subject to section 1771 of the California Labor Code.

No contractor or subcontractor, regardless of tier, may be listed on a proposal for, or engage in the performance of, any portion of this project, unless registered with the Department of Industrial Relations pursuant to Labor Code section 1725.5 and 1771.1. This project is subject to compliance monitoring and enforcement by the Department of Industrial Relations.

AFFIRMATIVE ACTION STATEMENT

Each candidate firm may be required to show evidence of its equal employment opportunity policy. 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

Advertised: 2/12/16

I. PROJECT IMAGES

General Project Location



II. LEVEL 1 PREQUALIFICATION QUESTIONNAIRE (DESIGN-BUILD)**PAULEY TRACK RENOVATION****UNIVERSITY OF CALIFORNIA, SANTA BARBARA**

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

If the Proposer can refute some of the facts upon which the above determinations were based, the Proposer may request a review 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 Engineering Contractor**

License Code: **A-license**

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 CSLB:

2. License Classification/Type:

3. License Number:

- C. Has your firm's contractor's license has been suspended or revoked by the CSLB 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 a "NO" answer to questions "2C" (or "2D", if applicable) above will result in the Proposer being deemed "not qualified", thereby eliminating that firm from further consideration in the competitive process.

3. SURETY (BONDABILITY)

Prospective Proposer 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 Proposer able to obtain bonding for the Anticipated Contract Value of approximately \$2,500,000?

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 Proposer 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 Proposer being deemed "not qualified", thereby eliminating that firm from further consideration in the competitive process. Further, a Proposer's failure to provide an acceptable explanation for a "YES" response to question "3C" (or "3C.1", if applicable) will result in the Proposer being deemed "not qualified", thereby eliminating that firm from further consideration in the competitive process.

D. Surety Declaration:

PROPOSER 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 PROPOSAL 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 (INSURABILITY)

Prospective Proposer 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

Insurer Name: _____

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

Insurer Name: _____

Indicate Best Rating: _____

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

- C. Is the prospective Proposer able to obtain insurance for the coverages and limits specified below for this construction project?

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

<u>Commercial Form General Liability Insurance - Limits of Liability</u>	<u>Minimum Requirement</u>
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
<u>Business Automobile Liability Insurance - Limits of Liability</u>	
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 Proposer being deemed "not qualified", thereby eliminating that firm from further consideration in the competitive process.

D. Insurance Declaration:

PROPOSER MUST PROVIDE THE FOLLOWING DECLARATION TO ITS INSURANCE CARRIER FOR COMPLETION/EXECUTION, AND RETURN THE SIGNED DECLARATION TO THE UNIVERSITY AS PART OF ITS PROPOSAL 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. Has your firm had any accidents which resulted in a construction fatality on any of its projects within the last five (5) years?

YES NO

If yes, provide additional information. _____

D. Has your firm had Cal-OSHA fines in the Serious, Repeat or Willful categories?

YES NO

If yes, provide additional information. _____

Note: Failure to answer “YES” to questions “5(A), 5(B) and 5(C)” listed above will result in the Proposer being deemed “not qualified”, thereby eliminating that firm from further consideration in the competitive process. Further, Proposer’s failure to provide an acceptable explanation, at the University’s sole discretion, for a “YES” response to question “5(D)” will result in the Proposer being deemed “not 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 "YES", please explain: _____

1. If the entity submitting this prequalification questionnaire is a Joint Venture, has the Joint Venture or any member 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 "YES", 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 "YES" response will result in the Bidder being deemed "not 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 "YES", explain: _____

1. If the entity submitting this Prequalification questionnaire is a Joint Venture, has the Joint or any member of the Joint Venture has 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 "YES", explain: _____

Note: Failure to answer "NO" to questions "7(A)" (or "7(A)(1)", if applicable) or provide an adequate explanation, at the University's sole discretion, for a "YES" response will result in the Proposer being deemed "not qualified", thereby eliminating that firm from further consideration in the competitive process.

8. CONSTRUCTION EXPERIENCE (COMPARABLE PROJECTS)

Your firm, acting in the role of either (i) General Contractor, (ii) Design-Build Contractor, or (iii) Construction Manager at Risk/General Contractor must have successfully completed at least three (3) “comparable” projects after February 12, 2006 that satisfy the requirements listed below in paragraph 8(A) and meet the requirements set forth in paragraphs 8(B) and 8(C).

Provide all project information on the attached Project Data Sheet (see Attachment “A”).

- A. Subject to the above qualifications, the minimum requirements for EACH of the three (3) comparable construction projects must include the following characteristics:
1. The Project must have a construction cost at the bid date of at least \$1,500,000; AND
 2. The Project must have been completed after February 12, 2006.
- B. At least one (1) of the projects must include experience working as part of a design-build team during construction and design phases on the same project.
- C. At least two (2) of the comparable projects must have been constructed for the University of California or other public, University/College, municipal, state, or federal entity.
- D. 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.
- E. Listed projects must have been managed and 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: Proposer’s failure to submit AT LEAST THREE (3) comparable projects on the attached Project Data Sheet (see Attachment ‘A’) that satisfy all of the requirements set forth above in question “8” will result in that Proposer being deemed “not 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. SUBMIT NOT MORE OR LESS THAN THE NUMBER PROJECT DATA SHEETS CORRESPONDING TO THE REQUIRED NUMBER OF COMPARABLE PROJECTS LISTED ABOVE.

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 (General Contractor / CM-at-Risk / Design Build Contractor):

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 the lead Design-Build Contractor or as General Contractor during the construction phase for this project?

YES NO

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

YES NO

c. List the principal project architect/engineer firm name and contact information for this project?

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

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 since February 12, 2006?

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 you self-performed

21. CLIENT INFORMATION:

Client Firm Name: _____

Client Contact: _____ Title: _____

Client Address: _____

Client City: _____ State: _____ Zip: _____

Client Phone: () _____ Fax: () _____

Client E-mail Address: _____

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