

SUBCONTRACTOR PREQUALIFICATION QUESTIONNAIRE

FOR THE

SANTA YNEZ APARTMENTS 100'S REFURBISHMENT PROJECT

PROJECT NO. FM130268P

JANUARY 2013



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As used herein, the term "entity" means the prospective Subcontractor submitting this Subcontractor Prequalification Questionnaire regardless of whether the entity is an individual company, joint venture, or partnership. Please note that the term "prospective Subcontractor" may sometimes be used interchangeably with the term "entity".

Each prospective Subcontractor must have a current and active California contractor's license at the time of the qualification and must submit this Subcontractor Prequalification Questionnaire with all portions completed, including the attached Exhibit "A" – Project Data Sheet.

SUBMITTED BY:

(Entity Name. If a Joint Venture state name of JV entity) printed or typed

(Contact Name)

(Address)

(City, State, Zip Code)

(Telephone Number) (Facsimile Number)

(E-mail Address)



I. PROJECT SUMMARY

Refurbishment of forty-seven (47) apartments consisting of one and two-bedroom units. All new plastic laminated kitchen base cabinets and upper cabinets with thermo foil doors and drawer fronts. All new kitchen countertops consisting of solid surface tops with integral bowl sinks. New bathroom lavatories of same materials as kitchen cabinets, tops and sinks. Miscellaneous closet doors replaced with same doors as kitchen cabinets. Miscellaneous closet shelf replacement.

Estimated Cost for Carpentry Work Only (Cabinets and Countertops): \$370,000

Estimated Total Construction Cost (Estimated): \$1,430,000

Estimated Total Project Duration: 85 days

Tentative Bid/Project Schedule:

Advertisement: Early April

Bid Opening: Mid April

NTP Issued: Early May

Construction Start: Mid/End June

Substantial Completion: September 2013

II. GENERAL INSTRUCTIONS

Each prospective Subcontractor must answer all of the following questions and provide all requested information. Any prospective Subcontractor failing to do so may be deemed to be not responsive and not prequalified with respect to the process described herein. All Subcontractors that have submitted a Subcontractor Prequalification Questionnaire will be notified in writing of whether or not they have successfully achieved 'Prequalified' status.

The Exhibits provided herein by the University must be fully completed, but answering "NO" to a question contained solely in an Exhibit may not necessarily result in failure to achieve Prequalified status. Only those Subcontractors that have been determined to be prequalified and to have been determined to be responsible firms will be eligible to submit a bid to the Bidder (i.e., General Contractor) for these projects.

If a prospective Subcontractor is determined by the University not to be prequalified, the prospective Subcontractor may request a review by the University. Any such request must be received by the University within three (3) calendar days after the prospective Subcontractor's receipt of the University's 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 process described below 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 a ground for a bid protest.

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 THE FORMS PROVIDED HEREIN.



1. **LICENSE**

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

C-6

(License Code)

Cabinet, Millwork & Finish Carpentry

(License Classification)

YES NO

NOTE: The entity submitting this Subcontractor 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).

B. If 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 classification(s): _____

3. License code(s): _____

4. License number(s): _____

5. Date(s) issued: _____

6. Expiration date(s): _____

C. Can you truthfully state that the entity's contractor's license has not been suspended or revoked by the California Contractor's State License Board within the last 3 years?

YES NO

Note: Failure to answer "Yes" to questions "1A" and "1C" above will result in the entity being deemed "not pre-qualified", thereby eliminating that firm from further consideration in the competitive process.



2. CONSTRUCTION EXPERIENCE

NOTE: Where a time period is given, such as the last five (5 years), the period is to be measured backwards from prequalification questionnaire submittal deadline date.

Has the entity successfully completed **AT LEAST 5 COMPARABLE PROJECTS** greater than \$150,000 for countertops alone, or \$370,000 combined for countertops and cabinetry on a single project?

YES NO

- A. For the purpose of all questions and requests for information set forth in this subcontractor prequalification questionnaire a “comparable project” is defined as having ALL of the following characteristics:
 - 1. A construction cost at the bid date as listed above;
 - 2. A demonstrated history of at least three years of work in the State of California;
 - 3. Constructed by the entity submitting this Subcontractor Prequalification Questionnaire. (Note: Projects completed by present employees of the contractor for former employers are not acceptable.);
 - 4. Qualifying subcontractors must have the demonstrated capability to fabricate and produce the work within a short lead time;
 - 5. No active University or other public agency disqualifications or debarments; and
 - 6. At least three of the five listed projects must be Type V wood frame construction.

- B. An entity wishing to use a predecessor business to satisfy the prequalification requirements must demonstrate with written information submitted with this Subcontractor Prequalification Questionnaire that it is substantially the same organization (in terms of who is managing Contractor) 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’ license of Contractor 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.

- C. Provide at least five (5) separate and complete Project Data Sheets – Exhibit “A” . A blank Exhibit “A” form is located at the end of this Subcontractor Prequalification Questionnaire. Each completed form should evidence the firm’s comparable project experience, as described above.

Note: Failure to submit five (5) comparable projects that satisfy the requirements set forth above in questions “2” and “2(A)”, and conformance with questions “2(B)” and “2(C)”, may at the University’s sole discretion result in the entity being deemed “not qualified”, thereby eliminating that firm from further consideration in the competitive process.



3. **FINANCIAL DATA**

A. Does your firm have \$75,000 credit available for each project to perform the work required under this construction contract?

YES NO

If **“YES”**, then provide a letter from each of your firm's banks or other lending institutions verifying the amount of credit.

4. **SURETY**

A. Can the entity truthfully state that **no** surety has paid out any monies on claims on the performance bond issued by a surety of the benefit of the Owner arising out of the construction activities of the entity within the last **5** years?

YES NO

B. Can the entity truthfully state that **no** surety has paid out any monies on claims on the payment bond issued by a surety of the benefit of the Owner arising out of the construction activities of the entity within the last **5** years?

YES NO

Note: Failure to answer “Yes” to questions “3A”(including the provision of a Letter of Credit) , “4A” and “4B” above or provide an adequate explanation for a “No” response may, at the University’s sole discretion, result in the entity being deemed “not qualified”, thereby eliminating that firm from further consideration in the competitive process.



5. **INSURER**

Prospective subcontractors will be required to obtain insurance coverage at the associated limits noted below:

A. Is the entity able to obtain insurance in the following limits for this construction contract?

YES NO

<u>Comprehensive or Commercial Form General Liability Insurance* – Limits of Liability</u>	<u>Minimum Requirement</u>
• Each Occurrence – Combined Single Limit for Bodily Injury and Property Damage	\$1 Million
• Products – Completed Operations Aggregate	\$2 Million
• Personal and Advertising Injury	\$1 Million
• General Aggregate – Not Applicable to Comprehensive Form	\$2 Million
<u>Business Automobile Liability Insurance – Limits of Liability*</u>	<u>Minimum Requirement</u>
• Each Accident – Combined Single Limit for bodily Injury and Property Damage	\$ 1 Million
<u>Workers Compensation and Employer’s Liability Insurance**</u>	<u>Minimum Requirement</u>
• Workers Compensation	As required by Federal and State of California Law

* This Insurance must be (i) issued by companies with a Best rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody’s) or (ii) guaranteed, under terms consented to by the University (such consent to not be unreasonably withheld), by companies with a Best rating of A- or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody’s). further, the deductible, or retained limit, for each coverage shall not be more than \$100,000.

** This insurance must be issued by State Fund or, alternatively, companies: (i) that have a Best rating of B+ or better, and a financial classification of VIII or better (or an equivalent rating by Standard & Poor or Moody’s); or (ii) that are acceptable to the University.

Note: Failure to answer “Yes” to questions “5A” or provide an adequate explanation for a “No” response will result in the entity being deemed “not qualified”, thereby eliminating that firm from further consideration in the competitive process.



6. LIQUIDATED DAMAGES:

A. In the last five (5) years, the entity HAS NOT been the cause of assessed liquidated damages of more than \$5,000 on entity's portion of a construction contract with either a public or private owner?

YES NO

7. DISCIPLINARY MEASURES HISTORY

A. Can you truthfully state that the entity (nor any member of the entity if a joint venture or partnership) HAS NOT 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

8. FALSE CLAIMS HISTORY

A. Can you truthfully state that the entity (nor any member of the entity if a joint venture or partnership) HAS NOT 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, school district) within the last five (5) years?

YES NO

9. TERMINATION

A. Can you truthfully state that the entity (nor any member of the entity if a joint venture or partnership) HAS NOT been terminated for cause by an Owner after construction commenced within the last five (5) years?

YES NO

10. WI (WOODWORK INSTITUTE) CERTIFICATION

A. Can the entity state that they are a WI certified shop?

YES NO

B. Can the entity state that, if they are not a WI certified shop, that they will be able to obtain WI inspections, program labels on fabrication shop drawings and final WI installation approval?

YES NO

Note: Failure to answer "Yes" to each element of question numbers "6", "7", "8", "9", and "10" or provide an adequate explanation for a "No" response may result in the entity being deemed "not qualified", thereby eliminating that firm from further consideration in the competitive process.



11. SUBCONTRACTOR PREQUALIFICATION DECLARATION

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

submitting this Subcontractor Prequalification Questionnaire; that I am duly authorized to
sign this Subcontractor Prequalification Questionnaire on behalf of the above named
entity; and that all information set forth in this Subcontractor 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), California, on _____ (Date).

(Signature)

(Printed Name)

(Address)

(City, State, Zip Code)

(Telephone Number)

(Facsimile Number)

(E-mail Address)



EXHIBIT – A

PROJECT DATA SHEET

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

Complete and submit the following Project Data Sheet for each comparable project submitted as evidence of the entity’s experience. Do not use any other form other than this Exhibit.

The Exhibit must be fully completed, but answering “NO” to a question contained solely in an Exhibit shall not necessarily result in failure to achieve ‘Prequalified’ status. Only those Contractors that have been determined to be prequalified and to have been determined to be responsible contractors will be eligible to submit a bid for this Project.

1. Project Name: _____

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

City: _____ State: _____ Zip _____

3. Project Description: _____

4. Construction or Project Type: _____

5. Size (gross square feet): _____

6. Business name of entity which constructed this project:

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

YES NO

8. Did the project require the following type(s) of construction?: TYPE V WOOD FRAME

YES NO

9. Was the project completed within the last 5 years?

YES NO

10. Date construction contract was completed: _____

11. Contract time: _____ days

Was the project completed within the original contract time or adjusted contract time?

YES NO

If NO and completion did not occur within the original or the adjusted contract time, indicate elapsed time in whole calendar days between original or adjusted contract time and actual final completion.



12. Total Project Cost at Bid: \$ _____
Total Project Cost at Project Completion: \$ _____
Describe the sources and/or causes of the above differences in costs:

13. Did the project include occupied facilities?
 YES NO
If YES, what communications strategies used by your firm assisted the project team in mitigating the impacts of construction on the occupied facilities?

14. Entity's Project Team:
a. Name of Project Manager: _____
b. Name of Project Superintendent: _____
15. Project Owner Team and References:
a. Project Owner Name: _____
b. Project Owner Contact: _____ Title: _____
c. Project Owner Address: _____
d. Telephone: _____ Fax: _____
e. E-mail Address: _____
16. Design Professional (e.g. the name of the Architect or Engineer of Record)
(A&E) Firm Name: _____
A&E Contact Name: _____
A&E Telephone: _____ Fax: _____
A&E E-mail Address: _____

(Attach additional pages with other pertinent information, if necessary)