

## **APPENDIX B**

### **STANDARD TEMPLATE FOR STATEMENT OF QUALIFICATIONS**

#### **SUBMISSION OF QUALIFICATIONS**

In one package, the Design-Build Team's Prequalification Questionnaire including all sections and the required Project Data Sheets, and all other attachments indicated. RFQ Response shall be organized in Sections 1 through 9 corresponding to the Questionnaire. Supplemental sheets shall be included in the Section to which they relate and shall reference the question number.

- (1) Section I – Business Information
- (2) Section II – Licensing and Registration
- (3) Section III – Performance History
- (4) Section IV – Bonds and Insurance
- (5) Section V – Safety
- (6) Section VI – Project Experience and References
- (7) Section VII – Relevant Experience of Key Personnel
- (8) Section VIII – Skilled and Trained Workforce Compliance
- (9) Section IX - Certification
- (10) Section X – Exhibits

#### **SCORING**

SECTION I = 20 POINTS  
SECTION II = 80 POINTS  
SECTION III = 80 POINTS  
SECTION IV = 80 POINTS  
SECTION V = 50 POINTS  
SECTION VI = 320 POINTS  
SECTION VII = 320 POINTS  
SECTION VIII = 20 POINTS  
SECTION IX = 20 POINTS  
SECTION X = 10 POINTS

**TOTAL MAX POINTS = 1,000 POINTS**

**CONTRA COSTA COMMUNITY COLLEGE DISTRICT  
PREQUALIFICATION TEMPLATE  
DESIGN-BUILD ENTITIES  
APPENDIX B**

This standard prequalification template "Appendix B" should be completed by design-build entities or design-build teams seeking to prequalify for a Contra Costa Community College District ("District") design-build project in accordance with Education Code section 81700 et seq.

As used in here:

- "DBE" refers both design-build entities and design-build teams.
- "Member" refers to individuals or entities identified as members of the design-build team, including the general contractor and, if utilized in the design of the project, all electrical, mechanical, and plumbing contractors.
- "Associates" refers to all current officers, owners, and/or partners of DBE and of any Member.

Wherever additional space is needed to answer a question fully and accurately, attach additional copies of the template pages and/or additional signed sheets as needed.

**I. BUSINESS INFORMATION**

**A. Contact Information**

1. General Contractor Firm Name: \_\_\_\_\_
2. Architect of Record Firm Name: \_\_\_\_\_
3. Primary contact Person for the DBE: \_\_\_\_\_
4. Primary contact address for the DBE: \_\_\_\_\_
5. Primary Phone Number for the DBE: \_\_\_\_\_
6. Primary Email Address for the DBE: \_\_\_\_\_

**B. Form of Organization (Complete for each member of the DBE unless noted otherwise)**

1. If the DBE or any Member is a **corporation**:

- a. Date incorporated: \_\_\_\_\_
- b. Under laws of what state: \_\_\_\_\_
- c. If a privately held corporation, list all shareholders who will perform work on the project:

Name	Ownership Percentage

d. Attach a copy of the articles of incorporation.

2. If the DBE or any Member is a **limited liability company**:

- a. Date formed: \_\_\_\_\_
- b. Under laws of what state: \_\_\_\_\_
- c. List all LLC members who will perform work on the project:

Name	Ownership Percentage

d. Attach a copy of the articles of organization.

3. If the DBE or any Member is a **partnership**:

a. Date formed: \_\_\_\_\_

b. Under laws of what state: \_\_\_\_\_

c. List all partners who will perform work on the project:

Name	Ownership Percentage

d. Attach a copy of the partnership agreement.

4. If the DBE or any Member is a **joint venture**:

a. Date formed: \_\_\_\_\_

b. Under laws of what state: \_\_\_\_\_

c. List all joint venture members who will perform work on the project:

Name	Ownership Percentage

d. Attach a copy of the joint venture agreement.

5. If the DBE or any Member is a **sole proprietorship**:

a. Date formed: \_\_\_\_\_

b. Under laws of what state: \_\_\_\_\_

c. List owner: \_\_\_\_\_

d. Attach a copy of organizational documents, if any.

**C. Financial Capacity**

1. Attach an audited financial statement with accompanying notes and supplemental information for the past 2 full fiscal years for the General Contractor. A letter verifying availability of a line of credit may also be attached; however, it will be considered supplemental information only, and is not a substitute for the required financial statement.
  - a. The certificate of a licensed Certified Public Accountant will be required in all cases. It will be acceptable for the accountant to submit a certificate in the accountant's own words. However, such qualifications shall not be so extensive as to nullify the value of the statement or its usefulness to the District. Accountant's Release Letter will be required. The District may verify financial statement validity with responsible accountant.
2. Is DBE or any Member currently, or has DBE or any Member within the last 5 years been, the debtor in a bankruptcy case?

Yes                       No

If "yes," please attach a copy of the bankruptcy petition and a copy of the bankruptcy court's discharge or any other document that ended the case, if any.

**II. LICENSING AND REGISTRATION (COMPLETE FOR EACH MEMBER OF THE DBE)**

**A. General Contractor**

1. Name of license holder exactly as on file with the Contractors State License Board ("CSLB"): \_\_\_\_\_
2. General Contractor Firm Name: \_\_\_\_\_
3. License classification(s): \_\_\_\_\_
4. License #: \_\_\_\_\_
5. Issue Date: \_\_\_\_\_
6. Expiration Date: \_\_\_\_\_
7. Public Works Contractor Registration # on file with the Department of Industrial Relations ("DIR"): \_\_\_\_\_
8. Has any CSLB license held by the general contractor, or its qualifying individual been suspended or revoked within the last 5 years?

Yes                       No

If "yes," explain on a separate signed sheet.

9. Has the general contractor changed names or license numbers within the past 5 years?

Yes                       No

If "yes," explain on a separate signed sheet.

**B. Architect of Record**

The architect of record is the architect whose stamp will appear on project documents.

1. Name of license holder exactly as on file with the California Architects Board ("CAB"):  
\_\_\_\_\_
2. Architect of Record Firm Name: \_\_\_\_\_
3. License #: \_\_\_\_\_
4. Issue Date: \_\_\_\_\_
5. Expiration Date: \_\_\_\_\_

6. Has any CAB license held by the architect of record been suspended or revoked within the last 5 years?

Yes                       No

If "yes," explain on a separate signed sheet.

7. Has the architect of record changed names or license numbers within the past 5 years?

Yes                       No

If "yes," explain on a separate signed sheet.



**C. Engineer(s) of Record**

DBE prequalification requires the identification and submittal of five (5) engineer of record firms (Structural, Mechanical, Electrical, Plumbing, Industrial Equipment Engineer). These engineers will be the individuals who will be stamping the documents submitted to DSA. Any other submissions will not be reviewed. Use additional signed sheets to respond for each of the five (5) engineering disciplines.

1. Name of license holder exactly as on file with the Board of Professional Engineers, Land Surveyors, and Geologists ("BPELSG"): \_\_\_\_\_
2. Engineering Firm Name: \_\_\_\_\_
3. Engineering Discipline: \_\_\_\_\_
4. License Type: \_\_\_\_\_
5. Licenses #: \_\_\_\_\_
6. Issue Date: \_\_\_\_\_
7. Has any BPELSG license held by the engineer been suspended or revoked within the last 5 years?

Yes                       No

If "yes," explain on a separate signed sheet.

8. Has the engineer changed names or license numbers within the past 5 years?

Yes                       No

If "yes," explain on a separate signed sheet.

**D. Design-Assist Mechanical, Electrical, Plumbing Sub-Contractor(s)**

DBE prequalification requires the identification and submittal of three (3) design-assist sub-contractors (Mechanical, Electrical, and Plumbing) to provide preconstruction services during the design & preconstruction phase of the Project. Any other submissions will not be reviewed. Use additional signed sheets to respond for each of the three (3) design-assist MEP sub-contractors.

1. Name of license holder exactly as on file with the Contractors State License Board ("CSLB"): \_\_\_\_\_
2. Design-Assist Subcontractor Firm Name: \_\_\_\_\_
3. Trade classification: \_\_\_\_\_
4. License classification(s): \_\_\_\_\_
5. License #: \_\_\_\_\_
6. Issue Date: \_\_\_\_\_
7. Expiration Date: \_\_\_\_\_
8. Public Works Contractor Registration # on file with the Department of Industrial Relations ("DIR"): \_\_\_\_\_
9. Has any CSLB license held by the MEP contractor, or its qualifying individual been suspended or revoked within the last 5 years?

Yes                       No

If "yes," explain on a separate signed sheet.

10. Has the contractor changed names or license numbers within the past 5 years?

Yes                       No

If "yes," explain on a separate signed sheet.

**III. PERFORMANCE HISTORY**

1. Has DBE or any Member or Associate ever been found liable in a civil suit, or found guilty in a criminal action, for making any false claim or material misrepresentation to any public agency or entity?

Yes                       No

If "yes," explain on a separate signed sheet, including identifying who was found liable or guilty, the court and case number, the name of the public entity, the civil or criminal verdict, the date, and the basis for the finding.

2. Has DBE or any Member or Associate ever been convicted of a crime involving any federal, state, or local law related to construction or any crime involving fraud, theft, or any other act of dishonesty?

Yes                       No

If "yes," explain on a separate signed sheet, including identifying who was convicted, the name of the victim, the date of the conviction, the court and case number, the crimes, and the grounds for the conviction.

3. At any time in the last 5 years, has DBE or any Member been assessed liquidated damages under a construction contract?

Yes                       No

If "yes," explain on a separate signed sheet, including the project, owner, owner's address, date of completion, and amount of liquidated damages.

4. At any time in the last 5 years, has DBE or any Member or Associate been debarred, disqualified, removed, or otherwise prevented from bidding on, or completing, any public works project?

Yes                       No

If "yes," explain on a separate signed sheet, including the project, the year of the event, owner, owner's address, and basis for the action.

5. At any time in the last 5 years, has a public agency found that DBE or any Member was not a responsible bidder?

Yes                       No

If "yes," explain on a separate signed sheet, including the project, the year of the event, owner, owner's address, and basis for the finding.

6. In the past 5 years, has any claim exceeding \$50,000 been filed by or against DBE or any Member in court or arbitration concerning work or payment on a construction project?

Yes                       No

If "yes," explain on a separate signed sheet, including the project name, court or arbitration case name and number, and a brief description of the status of the claim.

7. In the past 5 years, has there been more than one occasion in which DBE, or any DBE member was required to pay either back wages or penalties for failure to comply with California prevailing wage laws or federal Davis-Bacon prevailing wage requirements?

Yes                       No

If "yes," explain on a separate signed sheet, describing the nature of the violation(s), project, owner, and amount paid, if any.

8. At any time during the past 5 years, has DBE or any Member been found to have violated any provision of California apprenticeship laws or regulations, or laws pertaining to use of apprentices on public works projects?

Yes                       No

If "yes," explain on a separate signed sheet, including date(s) of such findings and attaching the DAS' final decision(s).

**IV. BONDS AND INSURANCE**

**A. Bonds**

1. Attach a notarized statement from an admitted surety insurer (approved by the California Department of Insurance and authorized to issue bonds in the State of California), which states the current bonding capacity of the General Contractor (both single job limit and aggregate limit). Note: General Contractor must have capacity to provide 100% payment bond and 100% performance bond, each issued by an admitted surety insurer, without bonding subcontractors.
2. Provide the name, address, and telephone number of the surety agent: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
3. List all sureties that have written bonds to the General Contractor or any Member during the last 5 years:

Name	Address	Date of Bond

4. In the last 5 years, has any surety paid on behalf of the DBE or any Member a result of a default to satisfy any claims made against a payment or performance bond?  
 Yes                       No

If "yes," explain on a separate signed sheet, including the amount of each claim, name and telephone number of claimant, date of and grounds for the claim, and present status.

5. If DBE or any Member was required to pay a premium of more than 1 percent for a performance and payment bond on any project in the last 5 years, state the percentage: \_\_\_\_\_

Explain on a separate signed sheet why DBE or Member was required to pay the premium of more than 1 percent.

6. In the last 5 years, has DBE or any Member been denied bond coverage by a surety company or had no surety bond in place when once was required?

Yes

No

If "yes," explain on a separate signed sheet, including the name of the Surety Company and/or period during which DBE or Member had no bond in place.

**B. Insurance**

1. Does the General Contractor have commercial general liability insurance with a policy limit of at least \$5,000,000 per occurrence and \$10,000,000 aggregate for a California admitted company?

Yes                       No

If "no," provide on a separate signed sheet what policy limits are available to DBE.

2. Does DBE have current workers' compensation insurance as required by the California Labor Code or is DBE legally self-insured pursuant the California Labor Code?

Yes                       No

3. Does DBE have professional liability (errors and omissions) insurance with a policy limit of at least \$5,000,000 aggregate from a California admitted company?

Yes                       No

If "no," provide on a separate signed sheet what policy limits are available to DBE.

4. In the last 5 years, has any insurance carrier, for any form of insurance, refused to renew an insurance policy for DBE or any Member?

Yes                       No

If "yes," explain on a separate signed sheet, including the name of the insurance carrier, form of insurance, and year of the refusal.

**V. SAFETY**

1. Within the past 5 years, has the California or federal Occupation Safety and Health Administration ("OSHA") cited and assessed penalties against DBE or any Member, for "serious," "willful" or "repeat" violations of its safety or health regulations?

Yes                       No

If "yes," explain on a separate signed sheet, identifying the citation(s), nature of the violation(s), project, and amount of penalty paid, if any.

2. Within the past 5 years, has the Environmental Protection Agency ("EPA") or any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against DBE or any Member or the owner of the project on which DBE/Member was the contractor?

Yes                       No

If "yes," explain on a separate signed sheet, identifying the citation(s), nature of the violation(s), project, and amount of penalty paid, if any.

3. State the Workers' Compensation Experience Modification Rate ("EMR") for DBE and each Member for the past 3 premium years:

Year	EMR

Per Education Code 81703, a bidder's "safety record" shall be deemed "acceptable" if its experience modification rate for the most recent three-year period is an average of 1.00 or less.

If EMR was 1.00 or higher in any of 3 years, attach a letter of explanation.



4. State the total recordable injury or illness rate and the lost work rate for DBE and each Member for the past 3 years:

Year	Incident Rate	Lost Work Rate

Per Education Code 81703, a bidder's "safety record" shall be deemed "acceptable" if its average total recordable injury or illness rate and average lost work rate for the most recent three-year period does not exceed the applicable statistical standards for its business category, or if the bidder is a party to an alternative dispute resolution system as provided for in Section 3201.5 of the Labor Code.

If total recordable injury or illness rate was higher than the applicable statistical standards for its business category in any of 3 years, attach a letter of explanation.

5. Within the past 5 years, has there ever been a period when DBE or any Member had employees but was without workers' compensation insurance or state-approved self-insurance?

Yes                       No

If "yes," explain on separate signed sheet, including the date(s) and reason(s) for the absence of workers' compensation insurance.

**VI. PROJECT EXPERIENCE AND REFERENCES**

The Design Build Team must show experience and expertise with the design and construction of similar projects. Listed work should include public sector projects that required coordination and close working relationships for project reviews/ approvals/project close out with both the Division of the State Architect (DSA) and the office of the State Fire Marshal (SFM). Listed projects should also indicate work done for California community colleges and specifically if any projects have been constructed on an occupied campus.

A stronger preference will be given to Design-Build Entities who have successfully worked together on a minimum one (1) or more design-build projects.

The District is looking for DBEs that have shown creative/innovative design and technical expertise regarding the production of sound contract documents, rigid standards during construction administration and the ability to work collaboratively with the College Stakeholders, Districts management team, and Facilities/Operations groups.

The DBE team should also show the and ability to prioritize student/staff/public safety and to minimize disruption to the operational needs of the College/District.

The district may request additional DBE team members and their participation during the request for proposal ("RFP") phase.

1. How many design-build projects have the general contractor and architect of record involved in this DBE completed together? \_\_\_\_\_
2. For the completed design-build projects identified in the preceding answer, state:
  - a. Total dollar value of all contracts: \_\_\_\_\_
  - b. Dollar value of single largest contract: \_\_\_\_\_
3. How many California community college construction projects has/have the following firms completed in the past 10 years:

<b>Firm</b>	<b>Quantity Projects Completed</b>
General Contractor	
Architect of Record	
Structural Engineer of Record	
Mechanical Engineer of Record	
Electrical Engineer of Record	
Plumbing Engineer of Record	
Industrial Equipment Engineer of Record	

Design-Assist Mechanical Subcontractor	
Design-Assist Electrical Subcontractor	
Design-Assist Plumbing Subcontractor	

4. **Both** the General Contractor and the Architect of Record shall complete **both** project reference forms and tables attached hereto as **Exhibits A-1, A-1.1 (Table), A-2, and A-2.1 (Table)**. If the General Contractor and Architect of Record served as a Design-Build Entity on any of the referenced projects, please indicate so. District may, in its discretion, contact project references.

a. Comparable projects are preferably:

- i. Facilities which meet diverse Engineering Technology discipline requirements for California Community College Institutions, which include Architecture, Engineering, Construction, Mechanical Technology, Electronics and Electronic Technology, Industrial Design, Energy Systems Programs, and Math & Engineering Student Success Center.
- ii. Complex renovation and seismic upgrade of facilities for California Community College Institutions
- iii. Occupied Campus Site
- iv. Higher Educational Facility of comparable size in gross square footage
- v. Projects exceeding \$30 Million Contract Price
- vi. DSA Experience
- vii. Implementation of sustainability and energy management goals
- viii. Project was Subject to a Project Stabilization Agreement
- ix. Project was delivered through a Traditional Design-Build (Stipulated Sum or Lump Sum) or Progressive Design-Build Methodology (Open Book with Guaranteed Maximum Price)
- x. California Community College Experience

**VII. RELEVANT EXPERIENCE OF KEY PERSONNEL**

1. Complete Exhibit B – Key Personnel Experience Table
2. Attach resumes or similar documents, not to exceed 1 page each, showing the experience, training, and qualifications for the following key personnel of the DBE:
  - a. General Contractor – Preconstruction Manager
  - b. General Contractor – Lead Estimator (who will be the primary estimator for this project)
  - c. General Contractor – Procurement Manager (who will be leading the procurement of subcontractor trade packages and assembling the Guaranteed Maximum Price (GMP))
  - d. General Contractor – Design Manager
  - e. General Contractor - Project Manager
  - f. General Contractor - Superintendent
  - g. Architect of Record - Project Manager
  - h. Architect of Record – Design Manager or Person who will be stamping the documents for submission to DSA
  - i. Structural Engineer – Lead Person
  - j. Mechanical Engineer – Lead Person
  - k. Electrical Engineer – Lead Person
  - l. Plumbing Engineer – Lead Person
  - m. Industrial Equipment Engineer – Lead Person
  - n. Mechanical Contractor – Lead Person
  - o. Electrical Contractor – Lead Person
  - p. Plumbing Contractor – Lead Person
3. Key personnel must possess at least seven (10) years of experience to be considered, (identify number of years of experience on each resume).
4. Identify on resume and table key personnel which have DBIA credentials. Please list whether the credentials are a Certified DBIA Professional or an Associate Design Build Professional
5. Identify on each resume and table the percentage % of time each key personnel are anticipated to spend on the project during pre-construction and construction.

6. Identify on resume key personnel with the following experience:
  - a. Facilities which meet diverse Engineering Technology discipline requirements for California Community College Institutions, which include Architecture, Engineering, Construction, Mechanical Technology, Electronics and Electronic Technology, Industrial Design, Energy Systems Programs, and Math & Engineering Student Success Center.
  - b. Complex renovation and seismic upgrade of facilities for California Community College institutions
  - c. Occupied Campus Site
  - d. Higher Education Facilities of comparable size in gross square footage
  - e. Projects exceeding \$30 Million in contract price
  - f. DSA Experience
  - g. Implementation of sustainability and energy management goals
  - h. Project Stabilization Agreement Experience
  - i. Design-Build Experience
  - j. Project was delivered through a Traditional Design-Build (Stipulated Sum or Lump Sum) or Progressive Design-Build Methodology (Open Book with Guaranteed Maximum Price)
  - k. California Community College Experience
7. Provide an organizational chart for the DBE outline each position and how the firms will be organized in hierarchy
8. The district may request additional key staff members and their participation during the request for proposal ("RFP") phase.
9. The district reserves the right for final approval of each key staff member that will be assigned to this project.
10. The DBE may not substitute any key team members on this project, without written approval by the district.

**VIII. SKILLED AND TRAINED WORKFORCE COMPLIANCE**

1. By this submittal, and signing of the certification page for this prequalification submittal, DBE and its members hereby acknowledges, agrees, and hereby provides an enforceable commitment to District that:
  - a. DBE has agreed to be bound by: (i) a project stabilization agreement (“PSA”) entered into by the District that will bind all contractors and subcontractors performing work on the project to use a skilled and trained workforce; (ii) the extension or renewal of PSA that was entered into by the District prior to January 1, 2017; or (iii) a PSA entered into by the DBE that will bind the DBE and all its subcontractors at every tier performing work on the project to use a skilled and trained workforce.

**IX. CERTIFICATION**

DBE and all Members must sign. Copy this certification page as needed for each Member.

I certify and declare that I have read all the foregoing answers to this prequalification template and that all answers are correct and complete of my own knowledge and belief. I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date: \_\_\_\_\_, 20\_\_

Name of DBE or Member: \_\_\_\_\_

Signature by authorized individual: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

**X. EXHIBITS**

Complete all Exhibits attached hereto and return with completed Statement of Qualifications

**EXHIBIT A-1 – DESIGN BUILD PROJECT REFERENCE SHEETS**

**EXHIBIT A-1.1 – DESIGN BUILD PROJECT REFERENCE TABLE**

**EXHIBIT A-2 – CALIFORNIA K-12 OR CALIFORNIA COMMUNITY COLLEGE PROJECT REFERENCE SHEETS**

**EXHIBIT A-2.1 – CALIFORNIA K-12 OR CALIFORNIA COMMUNITY COLLEGE PROJECT REFERENCE TABLE**

**EXHIBIT B – KEY PERSONEL EXPERIENCE TABLE**



## **QUALIFICATION CONDITIONS**

Answers to questions contained in the attached Questionnaire and provision of the Financial Statement are required, including a complete statement of Respondent's financial ability. Firms must have provided comparable Design-Build Entity services, including preconstruction service, scheduling, budgeting, and managing the construction of comparable complex projects in occupied campus settings.

Interested Design-Build Entities shall closely examine the specific requirements and questions in the questionnaire and submit RFQ Responses as directed.

The District will not provide any oral clarifications or modifications to the RFQ or the requirements hereof; no employee, officer, agent, or representative of the District is authorized to provide oral clarification or modifications to the RFQ. No Respondent shall rely on any oral clarification or modification to the RFQ. Any addenda issued will be e-mailed to all firms who are known by the District to have received a set of prequalification documents.

By submittal of a proposal, the prospective Design-Build Entity commits to providing the key staff named in the submittal and that the assigned individuals will remain on the Project throughout design and, subject to their remaining with the firm. The proposed key staff shall attend the interview during the request for proposal phase. The district reserves the right for final approval of each key staff member that will be assigned to this project. The design-build entity (including the General Contractor and Architect of Record) may not substitute any key team members for this project, without written approval by the district.

A Design-Build Contract will be provided during the RFP Phase. The Contract will be authorized and awarded in the sole discretion of the District. Changes in terms of contract will not be considered.

The District expressly reserves the right to modify any portion, postpone or cancel this RFQ at any time, and/or reject any and all submissions without indicating any reason. No submission documents will be returned. Modifications, if any, made by the District to the RFQ will be in writing and distributed to the Respondents.

Unless and except when requested to do so in writing by the District or as otherwise permitted by this RFQ, Respondents shall not, prior to completion of the RFQ, communicate, either verbally or in writing, with: (i) any member of the RFQ Selection Committee; (ii) any consultant or professional retained by the District for the purpose of providing the District advice or professional services in respect to the Project or the RFQ; or (iii) any employee or representative of the District.

No compensation is offered for any work performed or expense incurred related to this RFQ. Submissions are entirely voluntary. All original documents including electronic files submitted in response to this RFQ become the property of the District, and any materials submitted by any firm (other than the financial statements) may be used for any purpose by the District after the Design-Build firm is selected. If any firm's submission is late or incomplete in any way, that proposal may be rejected as non-responsive.

The District reserves the right to modify the project schedule and/or budget.