

County of San Mateo

Department of Public Works
Facilities Planning, Design & Construction Division
555 County Center, Fifth Floor
Redwood City, CA 94063



ANIMAL CARE SHELTER

Request for Design-Build Entity Qualifications

RE-ISSUE DATE: December 30, 2015

(Originally issued on July 24, 2015)

DUE DATE: Tuesday, February 16, 2016

Table of Contents

I. GENERAL PREQUALIFICATION PROCESS AND REQUIREMENTS	4
A. GENERAL INFORMATION	4
B. PROCUREMENT METHOD	4
C. DEFINITIONS	4
D. SELECTION PROCESS	4
E. PROPOSAL MANAGER	5
F. OBTAINING RFQ	6
G. MANDATORY RFQ BRIEFING CONFERENCE	6
H. QUESTIONS PROCEDURE	6
I. COMMUNICATION WITH THE COUNTY	6
J. CONTACT AND SUBMITTAL INFORMATION:	7
K. SUMMARY SCHEDULE	7
L. LATE PROPOSALS	7
EXHIBIT A Identification of DBE Proposal Manager	8
II. PROJECT INFORMATION	9
A. PROJECT DESCRIPTION	9
B. DBE RESPONSIBILITY OVERVIEW	9
C. COUNTY CONSULTANTS	9
D. LABOR COMPLIANCE	10
E. PROJECT LABOR AGREEMENT (PLA)	10
III. Statement of Qualifications (SOQ) INSTRUCTIONS AND SUBMITTAL REQUIREMENTS	11
A. GENERAL	11
B. PART A – QUESTIONNAIRE INSTRUCTIONS	11
C. PART B – EXPERIENCE INSTRUCTIONS	12
D. SOQ SUBMITTAL REQUIREMENTS	15
Tab 1 - Identification on the DBE and Primary Team Members	18
Tab 2 - ESSENTIAL REQUIREMENTS FOR THE DBE	33
Tab 3 - QUESTIONS FOR THE DBE PRIMARY TEAM MEMBERS	37
Tab 4 - FINANCIAL QUESTIONS FOR THE DESIGN BUILDER	55

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

Tab 5 – NARRATIVE & ORGANIZATIONAL CHART _____ 57
Tab 6 – PERSONNEL RESUME _____ 58
Tab 7 – PROJECT PROFILE SUMMARY/REFERENCES _____ 59
Tab 8 – WORKING RELATIONSHIP MATRIX _____ 61
Tab 9 – Project Management Approach _____ 62
Tab 10 – Letter from Surety and Letter(s) from Insurance Carriers _____ 62

Update: This Request for Qualifications (RFQ) is being re-issued for the Animal Shelter project. The original issue date was July 24, 2015. All entities that originally submitted Statements of Qualifications (SOQ) must re-submit SOQs based upon the requirements of this re-issued RFQ to be considered.

I. GENERAL PREQUALIFICATION PROCESS AND REQUIREMENTS

A. GENERAL INFORMATION

Project: County of San Mateo Animal Care Shelter

Location: 12 Airport Blvd., San Mateo, CA 94401

Project Administration Location: 555 Government Center, Fifth Floor, Redwood City, CA 94063

Owner: County of San Mateo

B. PROCUREMENT METHOD

For this Project, the County is utilizing a Best Value Design-Build procurement process whereby the County will establish a Not-to-Exceed Fixed Fee for the Design-Build proposal, currently estimated to be \$15 million. The actual stipulated sum shall be defined in the RFP.

C. DEFINITIONS

The following "terms" are used throughout this RFQ and are defined as follows:

- "Best Value" means the value determined by objective criteria that may include, but not be limited to, price, features, functions, life cycle costs, experience, and other criteria deemed appropriate by the County of San Mateo and their management team.
- "Design-Build" means a selection process in which both the design and construction of a project are selected from a single entity.
- "Design-Build Project" means a capital outlay construction project using the Design-Build project delivery method.
- Design Build Entity ("DBE") means a partnership, joint venture, corporation, or other legal entity that is able to provide appropriately licensed contracting, registered architectural, and licensed engineering services as needed.
- "RFP Design-Build Package" means the performance criteria, any concept drawings, the form of contract, and all other documents and information that serve as the basis on which proposals will be solicited from the Design-Build Entities.
- "Design-Build Team" means the Design-Build Entity itself and the individuals and other entities identified by the DBE as members of its team.

D. SELECTION PROCESS

The County is utilizing a two phased process for the identification and selection of the DBE for

this Project.

Phase 1: Request for Qualifications (RFQ): Interested design-build entities shall submit a Statement of Qualifications (SOQ) as further defined in this RFQ. The SOQ's received in accordance with this RFQ will be reviewed and scored. A shortlist of what is anticipated to be the top scoring three (3) firms will be allowed to participate in the Phase 2 Request for Proposal process.

Phase 2: Request for Proposals (RFP): The DBEs that are shortlisted (pre-qualified) will be allowed to participate in the RFP. The RFP will be a detailed description of the County's expectations for the Project, including the Project's design and performance criteria, administrative details, known site conditions and other pertinent project information, as well as a sample of the Design-Build and PLA Agreements.

Responsible pre-qualified DBEs who are not awarded the Contract will receive a stipend of \$20,000 for their responsive participation in the RFP process. In exchange for its participation in the Proposal process, and subject to compliance with the obligations of the RFP, all pre-qualified DBEs shall agree to the following conditions:

1. Any pre-qualified DBE not awarded the Contract shall agree not to protest the award of the Contract to a different pre-qualified DBE.
2. All Proposal documents and other submissions and concepts discussed by any pre-qualified DBE shall become the property of the Owner.

The County of San Mateo reserves the right to reject any or all responses received as a result of this solicitation process, and not award a contract.

E. PROPOSAL MANAGER

Proposal Manager: Each design-build entity interested in submitting a SOQ submit shall designate one (1) Individual as its Proposal Manager who will be responsible for all communications with the County during the RFQ and RFP process. The design-build entity shall submit to the County a completed Identification of Design-Build Entity Proposal Manager form (Exhibit A) before the due date.

The Identification of Design-Build Entity Proposal Manager form naming the Proposal Manager must be received no later than the date/time indicated in Section K – Summary Schedule

The design-build entities Proposal Manager shall be the single point of contact for questions, inquiries, clarifications, and correspondence during the entire RFQ and RFP process. Any substitution of design-build entities Proposal Manager during the RFQ and RFP processes shall

be made in writing to the County as per the Identification of Design-Build Entity Proposal Manager form.

F. OBTAINING RFQ

Interested design-build entities may obtain the RFQ package, which contains the Identification of Design-Build Entity Proposal Manager form by downloading it from the County Website.

County Website: <http://publicworks.smcgov.org/public-works-projects>

G. MANDATORY RFQ BRIEFING CONFERENCE

This section is deleted. There is no mandatory briefing conference. Please see Section H for the Questions Procedure.

H. QUESTIONS PROCEDURE

Questions pertaining to this RFQ must be submitted in writing via e-mail to name and address found in the Contact and Submittal Information located at the end of this section. Please submit all questions by the deadline, stipulated in the Summary Schedule below. The County will provide written responses to all pertinent questions in the form of an Addendum.

Copies of all questions submitted by design-build entities, and subsequent answers will be distributed via written addenda, by email, on the date indicated in the Schedule Summary below to all Design-Build Entities that have submitted the identification of Design-Build entities Proposal Manager form and have attended the Mandatory Briefing Conference.

The County will also post addenda to the County website. Failure of a DBE to receive addendum shall not entitle the DBE to an extension of the schedule nor shall it permit the submission of any additional information after the deadline set forth in the schedule.

I. COMMUNICATION WITH THE COUNTY

Under no circumstances are any of the prospective design-build entities or anyone on the design-build entity teams to contact, discuss with, or inquire of any County consultant, employee, elected official or member of the RFQ/P Review Technical Advisory Committee on any matter relating to this solicitation process. This requirement is to ensure that the same information is received by all interested parties and no inconsistent, incomplete or inaccurate information is communicated. Information obtained outside this prequalification process cannot be relied upon.

Unauthorized contact of any individual as described above may be cause for rejection of the design-build entities Statement of Qualifications or Proposal. All inquiries concerning this solicitation shall be directed to the contact person shown below. **No telephone inquiries will be answered.**

J. CONTACT AND SUBMITTAL INFORMATION:

All Information requests and project submissions must be directed to:

Theresa Yee, AIC, CPC, Capital Projects Manager
County of San Mateo Department of Public Works
555 County Center, Fifth Floor, Redwood City CA 94063
Email: tyee@smcgov.org

K. SUMMARY SCHEDULE

Phase 1: RFQ Process	Due Date	Due Time (PT)
County re-issue RFQ	Dec 21 – Tue	
Submit Identification of DBE Proposal Manager	Jan 26 - Tue	4:00 PM
Cut-off date for written questions from DBE's	Jan 29 - Fri	4:00 PM
County distribute responses to written questions	Feb 5 - Fri	4:00 PM
Statement of Qualifications submission Due Date	February 16 - Tue	4:00 PM
Announce three highest scoring DBE's	Feb 26 - Fri	
Phase 2: RFP Process	Due Date	Due Time (PT)
RFP issued to three highest scoring DBE's	Mar 9 - Wed	TBA

L. LATE PROPOSALS

Late proposals shall be rejected and returned to the proposer. This deadline is absolute and proposals received after the due date and time will not be considered. Proposers must select a method of delivery that ensures proposals will be delivered to the correct location by the due date and time.

EXHIBIT A

**County of San Mateo Animal Care Shelter Project
San Mateo, California**

Identification of DBE Proposal Manager

Name of DBE: _____
Proposal Manager: _____
Title: _____
Firm/Company: _____
Address: _____
Telephone No.: _____ Fax No.: _____
Email Address: _____

E-mail a copy of this form by date/time indicated in Section K – Summary Schedule simultaneously to:

Theresa Yee	Trent Neuhausel
Capital Projects Manager	Principal, North Region
County of San Mateo Public Works	Jtec HCM, Inc.
555 County Center, Fifth Floor	474 14 th Street, Suite 500
Redwood City, CA 904063	Oakland, CA 94612
E-mail: tyee@smcogov.org	E-mail: trent@jtechcm.com

Note: Any substitution of DBE's Proposal Manager during the RFQ and RFP process shall be made in writing to and approved by the County and shall subject the DB Entity to re-evaluation. Submit a written request for substitution to the persons indicated above.

II. PROJECT INFORMATION

A. PROJECT DESCRIPTION

This Project is funded through voter approved County of San Mateo Sales Tax Increase, Measure A (November 2012).

The County of San Mateo (County) owns the property of and will be acquiring ownership of the existing Animal Care Shelter located at 12 Airport Blvd., San Mateo, CA. Peninsula Humane Society (PHS) currently provides the animal care services under a service agreement with the County, staffing the existing facility with PHS personnel. The County intends to build a replacement facility consisting of a new approximately **27,000** square foot building. The building will be built on the same parcel as the existing facility and designed **to achieve LEED Certified or better**. The facility may involve partial demolition of the existing building while existing PHS operations continue during design and construction of the new facility. The new facility will offer similar services to the existing facility and would generally include: public receiving, administration/support areas, domestic animal holding, animal support spaces, family support services, clinic (spay/neuter and shelter medicine), and outdoor programmatic spaces.

B. DBE RESPONSIBILITY OVERVIEW

The Design-Build Entity will be responsible for all applicable agency approvals including but not limited to planning, design, engineering, permits, construction, start-up and testing, enhanced commissioning, coordination of commissioning by County's third party Cx agent, installation of furniture and equipment and activation coordination for the Project. The DBE will be responsible for all surveying and geotechnical investigation needed for the design of the project, environmental/hazmat, and existing utility and subsurface conditions investigations needed to confirm site conditions.

C. COUNTY CONSULTANTS

The County has retained the services of Jtec HCM, Inc to provide Project Management services to assist the County in the administration of the Project. The DBE will be expected to work collaboratively with the County's Project Manager and all other Consultants they retain for this project.

Any consultant firms and/or individuals who are, or have been involved in the preparation of this RFQ and RFP or, who are employees of the Jtec HCM, Inc., Kitchell CEM, Kappe + Du Architects, or Kappe Architect consultant teams will not be allowed to participate on any Design-Build team in any capacity on this Project.

The County may also retain additional consultants to assist with the Project as it deems necessary. The services performed by any County contracted consultants will not release the DBE's from its responsibility to provide code-compliant designs and construction nor will they release the DBE's from its responsibility to provide complete start-up and commissioning of all facility systems and elements.

D. LABOR COMPLIANCE

The successful DBE including the General Contractor and all subcontractors must comply with the provisions of State Senate Bill 854 (Stat. 2014, chapter 28), which became effective January 1, 2015. Including the following:

- 1) No contractor or subcontractor may be listed on a bid proposal for public works project (submitted on or after March 1, 2015) unless registered with the Department of Industrial Relations pursuant to Labor Code section 1725.5 [with limited exceptions from this requirement for bid purposes only under Labor Code section 1771.1(a)]
- 2) No contractor or subcontractor may be awarded a contract for public works on a public works project (awarded on or after April 1, 2015) unless registered with the Department of Industrial Relations pursuant to Labor Code section 1725.5.
- 3) This project is subject to compliance monitoring and enforcement by the Department of Industrial Relations.

E. PROJECT LABOR AGREEMENT (PLA)

The County of San Mateo will have a PLA for this project. A copy of the PLA will be provided to the short listed design-build firms as part of the RFP process. The DBE, General Contractor, and all subcontract forces shall comply with the requirements set forth in the referenced PLA. Any costs for compliance with the PLA are to be included with the shortlisted DBE's proposal.

III. Statement of Qualifications (SOQ) INSTRUCTIONS AND SUBMITTAL REQUIREMENTS

A. GENERAL

The General Contractor (if separate entity from Design-Builder), the Architect of Record and Design Architect (if separate entity from the AOR) will not be allowed to participate in any capacity as a member of more than one Design-Build team. There are no such participatory restrictions on other team members.

Design-Build team members listed in response to the RFQ are expected to be listed by the DBE in their Request for Proposal Design-Build Entities must submit requests to substitute team members for good cause to the County in writing for approval. Design-Build team member substitution requests may cause the County to re-evaluate a DBE's being short listed and may cause the County to rescind a DBE's invitation to participate in the RFP process and offer an invitation to participate in the RFP process to another DBE.

The Phase 1 evaluation criteria to prequalify prospective design-build entities shall consist of two (2) parts:

- PART A – QUESTIONNAIRE
- PART B – EXPERIENCE

B. PART A – QUESTIONNAIRE INSTRUCTIONS

Design-Build Primary Team: Each responding design-build entity must submit qualifications for the DBE, a General Contractor properly licensed (Class B) in California, as well as an Architect, properly registered / licensed in California. If the DBE and the General Contractor are the same entity, fill in and include the same information for all tabs. The DBE's Architect shall be required to complete the design and serve as the Architect of Record for the Project. If the DBE intends to have a separate Design Architect in addition to the Architect of Record, the design-build entity must also submit qualifications for the Design Architect.

DBE's must complete and submit qualifications regarding their Primary Team as described in the attached PART A Questionnaire consisting of the following four (4) Sections:

- Tab 1:** Identification of DBE and Primary Team Members – Not Scored
- Tab 2:** Essential requirements for the DBE – Pass/Fail
- Tab 3:** Questions for DBE Primary Team Members - Scored
- Tab 4:** Financial Questions for the Design Builder - Scored

If the information requested for the DBE, General Contractor, Architect of Record, and Design Architect is not provided in accordance with the requirements of Part A Sections I or if the DBE

receives a “Fail” grading in Section II, then the DBE will receive a score of “Fail” and no further scoring of Part A will be made.

Each of the DBE’s Primary Team Members (DBE, General Contractor, Architect of Record and Design Architect) must complete and sign a certification form included in the Part A Questionnaire.

C. PART B – EXPERIENCE INSTRUCTIONS

Each design-build entity submitting qualifications shall provide evidence that establishes the design-build entity and its primary team members have completed or demonstrate the capability to complete projects of similar size, scope, schedule and complexity and that proposed key personnel have sufficient experience and training to competently manage and complete the design and construction of the Project.

The design-build entity and its primary team members’ experience will be evaluated for the relative merit and responses to the following sections:

Tab 5 - Narrative and Organization Chart: The information requested in this section is intended to provide the selection team an understanding of the DBE’s staffing rationale and how they propose to organize their team to successfully execute the project.

Tab 6 - Personnel Resumes: The information requested in this section is intended to allow the selection team to evaluate the experience and skills of the Key Personnel on the DBE’s team and assess their ability to successfully execute the design and construction of the Project. Certain key resumes will have a higher scoring weight than others as noted in the required resume listing below.

Submit resumes of key personnel who will be assigned to this Project and who will contribute a significant effort to its design and construction. Clearly identify experience demonstrated by projects of similar size, scope, schedule and complexity to the Project including experience with animal care facilities, public facilities constructed in urban settings, complex building types and experience on design-build projects. Projects completed by key personnel while employed for other firms may be listed but must be so identified. Identify significant experience or attributes which will be useful on this Project. Personnel resumes shall be limited to two (2) pages in length for each resume and must respond to each line item contained on the resume template attached.

Resumes will be required for the following team members at a minimum. It should be noted that is acceptable for the same person to fulfill more than one job position for the project:

- a. DBE:
 1. Project Executive (Prime contracting authority)

- 2. DBE Project Director (Primary point of contact)**
- b. Design Team:
 - 1. Design Project Manager**
 - 2. Architect of Record**
 3. Design Architect (if not AOR)
- c. Construction Team:
 - 1. Project Manager**
 - 2. General Superintendent**
 3. MEP Superintendent

*Please Note: Additional Team member resumes may be submitted for clarity of team composition, only the resumes for the positions noted above will be scored. **Additional scoring weight will be given to positions identified above in bold.***

Tab 7 - Project Profiles: The information requested in this section is intended to permit the selection team to review experience and actual results of the teams and team member's ability to successfully design and construct projects similar in nature and complexity to the Project.

The Contractor, Architect of Record and Design Architect (if not the AOR) shall provide design or construction project profiles for a maximum of five (5) independent projects each having been completed within the last 10 years or are currently under construction and at least 50% completed. Project Profiles shall be limited to two (2) pages in length for each project and must respond to each line item contained on the project profile template attached.

Projects are to demonstrate the team's design and construction experience on similar projects in terms of significant new construction, critical schedules, complexity, scope, function, size, cost control, dollar value, and design-build experience.

A. Design Experience:

The DBE shall submit a maximum of five (5) project profiles representative of the AOR's ability to design projects of similar size, scope, character and complexity to this Project.

- At least two (2) of the projects must be in California.
- All projects must have been completed within the last ten (10) years or are currently under construction and at least 50% complete.
- At least two (2) projects must have a construction cost in excess of \$10 million dollars.
- At least two (2) projects must have utilized the Design-Build delivery method.

B. Construction Experience:

The General Contractor shall submit a maximum of five (5) project profiles representative of the General Contractor's ability to provide construction of projects of similar size, scope, character and complexity to this Project.

- At least two (2) of the projects must be in California.
- All projects must have been completed within the last ten (10) years or are currently under construction and at least 50% complete.
- At least three (3) projects must have a construction cost each in excess of \$10 million dollars.
- At least three (2) projects must have utilized the Design-Build delivery method.

Project Profiles Summary/References: For each project, complete the Project Profile Template attached. Each profile is limited to two (2) pages and must include a response to all line items of the template for each project presented. Additional information, photos and other graphic materials may be included. Include a narrative addressing the salient features for each project and a brief statement indicating the relevance of the referenced project to this Project. Indicate the degree of involvement by key construction personnel being proposed for this Project.

The information requested in this section is intended to permit the selection team to validate actual performance of the firm and/or individual team members on a given project. List on the Project Reference Template form each project for which a Project Profile Template is being submitted under Section III. For each project listed identify the Project Name, Firm Name, and Owner Contact Name along with Contact's Title, Phone Number, E-mail Address and Relationship to the Project. The Owner Contact should be someone intimately familiar with the firm's involvement in the listed project.

The County may contact those individuals listed as references by the DBE team members for verification that the DBE's characterization of its involvement in the project is accurate and their overall assessment of the quality of the services provided, specifically including design of the facility to meet its intended purpose, function of the facility, project management, cost of the facility in relation to budget, schedule control, quality, and commissioning.

It is the DBE's responsibility to verify that all references listed can be reached by telephone. **If a reference cannot be located based upon the information provided by the DBE, then the County will not score the listed project for this Section.**

The County, at its sole discretion, may choose to contact other references

including owners listed on the project profiles presented in the DBE's Statement of Qualifications.

Tab 8 - Working Relationship Matrix: The information requested in this section is intended to provide the selection team an understanding of the proposed members' experience and ability to function as a team at the outset of the project due to prior existing working relationships established on previous projects.

The DBE shall select up to ten (10) projects from the Project Profile Templates submitted and list them on the Working Relationship Matrix provided in Part B. For each position listed on the Matrix indicate whether the firm or a key individual being proposed for this Project had a significant role in the project's success by placing a "mark" in the appropriate box.

Tab 9 - Project Management Approach: The information requested in this section is intended to provide the selection team an understanding of how the DBE intends to manage the design and construction of the project and why their specific approach is best suited to achieve success on the project.

Tab 10 – Letter from Surety and Letter(s) from Insurance Carriers

D. SOQ SUBMITTAL REQUIREMENTS

Statement of Qualifications shall be submitted in accordance with the following requirements. The submittal shall use no less than 11 pt. font and shall be on 8-1/2 x 11 inch page size. Each submittal shall contain the following tabbed sections:

Cover letter (limited to 1 page)

Title Page

Table of Contents

Part A - Questionnaire:

Tab 1: Identification on DBE and Primary Team Members

Tab 2: Essential requirements for the DBE

Tab 3: Questions for DBE Primary Team Members

Tab 4: Financial Questions for the Design Builder

(Certified Financial Statements to be provided in separate sealed envelope)

Signed Certification for each DBE Primary Team Member

Part B - Experience:

Tab 5: Narrative and Organization Chart (limited to 3 pages)

Tab 6: Personnel Resumes (limited to 2 pages each per personnel)

Tab 7: Project Profiles & References (Profiles limited to 2 pages each per project)

Tab 8: Project Profile Team Matrix

Tab 9: Project Approach to Management Plan (limited to 8 pages)

Part C - Appendix:

Tab 10: Letter from Surety and Letter(s) from Insurance Carriers

The DBE shall provide six (6) hard copies of their SOQ response, one (1) electronic file copy of the SOQ response in PDF-format on a USB flash drive and one (1) original copy of a certified Financial Statements in a sealed envelope identifying the DBE firm name and address and be labeled as follows:

**Statement of Qualifications
County of San Mateo – ANIMAL CARE SHELTER Project
“Confidential Financial Information”**

The entire SOQ submittal package including the hard copies of the SOQ, USB flash drive and the sealed envelope with Financial Statements shall be provided in a single package identifying the firm name and address and clearly labeled as follows:

**Statement of Qualifications
County of San Mateo – ANIMAL CARE SHELTER Project**

Submittals must be received by the date and time identified in the “Schedule Summary” and at the address stated in the “Contact and Submittal Information” of the General Process and Requirements Section.

Submitting firms are responsible to ensure their submittal is physically received by County of San Mateo by the stated time and date. Postmarks are not adequate. No fax or email copies will be accepted. Submittals received after the specified time and date will not be considered and will be returned unopened to the sender. **THIS SUBMISSION DEADLINE WILL BE STRICTLY ENFORCED.**

County of San Mateo Animal Care Shelter Project

San Mateo, California 94401

Request for Design-Build Entity Qualifications

Statement of Qualifications

Part A - Questionnaire

Tab 1: Identification on DBE and Primary Team Members

Tab 2: Essential requirements for the DBE

Tab 3: Questions for DBE Primary Team Members

Tab 4: Financial Questions for the Design Builder

PART A QUESTIONNAIRE

Tab 1 - Identification on the DBE and Primary Team Members

IDENTIFICATION OF DBE AND PRIMARY TEAM MEMBERS

DBE Proposal Manager Information:

Firm: _____
Contact Person: _____
Title: _____
DBE Team Title: _____
Address: _____

Phone: _____ Email: _____

Construction Team Contact Information:

Firm: _____
Contact Person: _____
Title: _____
DBE Team Title: _____
Address: _____

Phone: _____ Email: _____

Design Team Contact Information:

Firm: _____
Contact Person: _____
Title: _____
DBE Team Title: _____
Address: _____

Phone: _____ Email: _____

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

Additional DBE Member(s) (List any Additional DBE Team Members that are being pre-qualified)		
Discipline	Firm Name	Legal Entity (i.e. corporation, partnership, sole proprietor)

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

INFORMATION ABOUT THE DESIGN-BUILDER

1. Name of Design-Builder: _____
2. Date of company formation or incorporation: _____
3. State of formation or incorporation: _____
4. How many persons does the Design-Builder currently employ?: _____
- 5 (a) If the Design-Builder is a corporation, provide the following:
Provide information for each officer of the corporation and owners of 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

- 5 (b) If the Design-Builder is a sole proprietorship, please complete the following:

Owner	Years as Owner

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

5 (c) If the Design-Builder is a joint venture or partnership, provide the following for each member of the joint venture or each partner.

(Attach additional pages if necessary)

Name of Individual Or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the Design-Builder during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If "yes," explain on a separate page.

7. Is the Design-Builder a subsidiary, parent, holding company or affiliate of another construction firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.)

Yes No

If "yes," explain on a separate page.

8. State the Design-Builder's gross revenues for each of the last three years:

YEAR: _____ YEAR: _____ YEAR: _____
 \$ _____ \$ _____ \$ _____

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

9. List all California contractor license numbers, classifications and expiration dates currently held by the Design-Builder:

License Number	Trade Classification	Date Issued	Expiration Date

10. List the CA Department of Industrial Relations (DIR) Contractor Registration Information:

Legal Name/City: _____
 DIR Registration No: _____ Expiration Date: _____

11. Has the Design-Builder changed names or license numbers in the past five years?

Yes No

If "yes," explain on a separate page.

12. Has any owner, CSLB qualifier or corporate officer of the Design-Builder operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

Yes No

If "yes," explain on a separate page.

13. Surety Information for Design-Builder:

Bonding Co. /Surety: _____
 Surety Agent: _____
 Agent Address: _____

 Telephone No.: _____
 E-mail Address: _____

14. List all other sureties (name and full address) that have written bonds for the Design-Builder during the last five years, including periods during which each wrote the bond:

Surety	Address	Periods of Coverage

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

INFORMATION ABOUT THE CONSTRUCTION TEAM

The term "General Contractor" or "Construction Team" means the member of the DBE that will have the primary responsibility for the construction of the project. Duplicate and submit for each General Contractor if more than one.

1. Name of General Contractor: _____
2. Date of company formation or incorporation: _____
3. State of formation or incorporation: _____
4. How many persons does the General Contractor currently employ?: _____
- 5 (a) If the General contractor is a corporation, provide the following: Provide information for each officer of the corporation and owners of 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

- 5 (b) If the General Contractor is a sole proprietorship, please complete the following:

Owner	Years as Owner

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

5 (c) If the General Contractor is a joint venture or partnership, provide the following for each member of the joint venture or each partner. (Attach additional pages if necessary)

Name of Individual Or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the Design-Builder during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If "yes," explain on a separate page.

7. Is the Design-Builder a subsidiary, parent, holding company or affiliate of another construction firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.)

Yes No

If "yes," explain on a separate page.

8. State the Design-Builder's gross revenues for each of the last three years:

YEAR: _____ YEAR: _____ YEAR: _____
 \$ _____ \$ _____ \$ _____

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

9. List all California contractor license numbers, classifications and expiration dates currently held by the General Contractor:

License Number	Trade Classification	Date Issued	Expiration Date

10. Has the General Contractor changed names or license numbers in the past five years?

Yes No

If "yes," explain on a separate page.

11. Has any owner, CSLB qualifier or corporate officer of the General Contractor operated as a contractor under any other name or license number (not listed in 9 above) in the last five years?

Yes No

If "yes," explain on a separate page.

12. Surety Information for General Contractor:

Bonding Co. /Surety: _____

Surety Agent: _____

Agent Address: _____

Telephone No.: _____

E-mail Address: _____

13. List all other sureties (name and full address) that have written bonds for the General Contractor during the last five years, including periods during which each wrote the bond:

Surety	Address	Periods of Coverage

INFORMATION ABOUT THE ARCHITECT OF RECORD

(If the Architect of Record is the same as the Design Builder Section I (C) is not required).

The Architect of Record is the licensed Architect who will have primary responsibility for design work under the contract. Attach copies if more than one Architect of Record.

1. Provide the following information:
 Name of Architect of Record: _____
 Registration / License Number: _____
 Years in Practice: _____
2. Date of company formation or incorporation: _____
3. State of formation or incorporation: _____
4. How many persons does the Architect of Record's firm currently employ?: _____
- 5 (a) If the Architect of Record's firm is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

5 (b) If the Architect of Record's is a sole proprietorship, complete the following:

Owner	Years as Owner

5 (c) If the Architect of Record's firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the Architect of Record's firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If "yes," explain on a separate page.

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

7. Is the Architect of Record's firm a subsidiary, parent, holding company or affiliate of another firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.)

Yes No

If "yes," explain on a separate page.

8. Has any corporate officer or owner of the Architect of Record's firm worked for any other architectural or engineering firms in the past five years?

(NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.)

Yes No

If "yes," explain on a separate page

9. Has the Architect of Record's firm changed names in the past five years?

Yes No

If "yes," explain on a separate page including reason for change.

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

INFORMATION ABOUT THE DESIGN ARCHITECT

The Design Architect is the Architect who will have design responsibility in addition to the Architect of Record.

1. Provide the following information:
 Name of Design Architect: _____
 Registration / License Number: _____
 Years in Practice: _____
2. Date of company formation or incorporation: _____
3. State of formation or incorporation: _____
4. How many persons does the Design Architect's firm currently employ?: _____
- 5 (a) If the Design Architect's firm is a corporation, provide the following information for each officer of the corporation and individuals who own 10% or more of the corporate stock.

Position	Name	Years with Co.	% Ownership
CEO			
President			
Secretary			
Treasurer			

- 5 (b) If the Design Architect is a sole proprietorship, complete the following:

Owner	Years as Owner

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

5 (c) If the Design Architect’s firm is a joint venture or partnership, provide the following information for each member of the joint venture or each partner.

Name of Individual or Entity	Principal Contact	Position	Years with Joint Venture/ Partnership	% Ownership Interest

6. Has there been any change in ownership of the Design Architect’s firm during the last three years?

(NOTE: A corporation whose shares are publicly traded is not required to answer this question with regard to public trades.)

Yes No

If “yes,” explain on a separate page.

7. Is the Design Architect’s firm a subsidiary, parent, holding company or affiliate of another firm?

(NOTE: Include information about other firms if one firm owns 50 percent or more of another, or if an owner, partner, or officer of your firm holds a similar position in another firm.)

Yes No

If “yes,” explain on a separate page.

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

8. Has any corporate officer or owner of the Design Architect's firm worked for any other architectural or engineering firms in the past five years?

(NOTE: Include information about other firms if an owner, partner, or officer of your firm holds a similar position in another firm.)

Yes No

If "yes," explain on a separate page

9. Has the Design Architect's firm changed names in the past five years?

Yes No

If "yes," explain on a separate page including reason for change.

CERTIFICATION

NOTE: All Primary Members of the DBE Team must complete and sign a copy of this Certification form.

I, _____, the undersigned, hereby certify and declare that I have read all the answers to the Request for Qualifications (RFQ); that all responses are correct and complete to my knowledge and belief. I declare under penalty of perjury under the laws of the State of California, that all information submitted under this RFQ is true and correct.

(Signature)

(Printed name)

(Place of Execution)

(Date)

(Firm Name)

This form may be reproduced/reprinted for each primary team member.

Tab 2 - ESSENTIAL REQUIREMENTS FOR THE DBE

The term "Associates" shall mean all of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the Design-Builder.
- All current officers of a Design-Builder which is a corporation.
- All current partners of a Design-Builder which is a partnership.
- All current joint venturers of the joint venture Design-Builder which is seeking prequalification.

1. Does the Design-Builder and each proposed Subcontractor possess a current California contractor's license for the project for which it intends to submit a proposal or intend to obtain a license before commencing work?

Yes No

Yes = Pass

No = Fail

2. Does the Design-Builder have a liability insurance policy with a policy limit of at least **\$2,000,000** per occurrence, **\$4,000,000** aggregate and **\$10,000,000** in excess liability from a California admitted company?

Yes No

Yes = Pass

No = Fail

If yes, provide the following information. (Attach a separate page if more than one policy)

Insurance Company: _____

Policy Number: _____

Policy Limit per Occurrence: _____

Aggregate Policy Limit: _____

Attach a letter from your insurance carrier confirming limits.

3. Does the Design-Builder and each proposed Subcontractor have current California workers' compensation insurance policies as required by the Labor Code or are legally self-insured pursuant to Labor Code sections 3700 et. seq. or do they intend to obtain such insurance prior to commencing work?

Yes No

Yes = Pass

No = Fail

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

If yes, provide the following information. (Attach a separate page if more than one policy)

Insured: _____

Insurance Company: _____

Policy Number: _____

4. Has the latest copy of an certified financial statement (no more than two years old) with accompanying notes been attached for the Design-Builder or each member of the Design-Builder? (An certified financial statement with accompanying notes of a parent company guarantor may be substituted. A financial statement that is not certified is not acceptable. A letter verifying availability of a line of credit is not a substitute for the required financial statement.)

Yes No

Yes = Pass

No = Fail

5. Has 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 been attached, which states that the Design Builder's current bonding capacity is sufficient to provide payment and performance bonds in the amount of 100% of the contract total? (Statement must be from the surety company, not an agent or broker.)

Yes No

Yes = Pass

No = Fail

6. Has any contractor license held by the Design-Builder or its associates, the General Contractor Member(s) of the Design-Builder or their associates, or any of the proposed Subcontractors or their associates, been revoked or suspended within the last five (5) years?

Yes No

Yes = Fail

No = Pass

7. Has a surety firm completed a contract or paid for completion of a contract on behalf of any member of the DBE because they were terminated by the project owner within the last five (5) years?

Yes No

Yes = Fail

No = Pass

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

8. Within the last five years was the Design-Builder, the General Contractor Member(s) of the Design-Builder or any proposed Subcontractor been declared ineligible to bid on a public works contract, to be awarded a public works contract, or to perform as a subcontractor on a public works contract, pursuant to either Labor Code section 1777.1 or Labor Code section 1777.7?

Yes No

Yes = Fail
No = Pass

9. Has any member of the DBE (contractors, architects, engineers, subcontractors or others) or any member's associates, ever been convicted of a crime involving the awarding of a contract for a government project, or the bidding or performance of a government contract within the last five (5) years?

Yes No

Yes = Fail
No = Pass

10. Do all Architects and Engineers who are expected to work on the project possess current California professional registrations / licenses for the architectural and engineering services which they intend to provide?

Yes No

Yes = Pass
No = Fail

11. Are all Principal Architect/Engineers covered by a professional liability insurance policy with a policy limit of at least **\$2,000,000** per occurrence and **\$4,000,000** aggregate from a California admitted company that provides coverage for work on a design-build contract?

Yes No

Yes = Pass
No = Fail

If yes, provide the following information. (Attach a separate page if more than one policy)

Insurance Company: _____
Policy Number: _____
Policy Limit per Occurrence: _____
Aggregate Policy Limit: _____

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

12. Has any professional registration held by any Architect who will provide services been revoked at any time in the last five years?

Yes No

Yes = Fail

No = Pass

13. Has any professional license held by any Engineer who will provide services been revoked at any time in the last five years?

Yes No

Yes = Fail

No = Pass

14. Does the Design-Builder, the General Contractor Member(s) of the Design-Builder and each proposed Subcontractor seeking prequalification, know and understand their obligations regarding the employment of apprentices on public works under Labor Code section 1777.5 and California Code of Regulations, Title 8, section 230.1, and do they intend to comply with these requirements, including the requirement, if applicable, to request the dispatch of apprentices from an apprenticeship program approved by the California Apprenticeship Council?

Yes No

Yes = Pass

No = Fail

15. Will the Design-Builder ensure that its subcontractors responsible for specialty construction work use only qualified skilled labor personnel (such as carpenters, heat and frost insulators, asbestos workers, boilermakers, iron shop builders, blacksmiths, forgers, bricklayers, electrical workers, elevator constructors, iron workers, plumbers, pipe fitters, plasterers, cement masons, painters, roofers, waterproofers, sheet metal workers) and other such skilled labor as may be required by the work of the project to perform such work?

Yes No

Yes = Pass

No = Fail

Tab 3 - QUESTIONS FOR THE DBE PRIMARY TEAM MEMBERS

QUESTIONS FOR THE DESIGN-BUILDER

The term "Associates" shall mean all of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the Design-Builder.
- All current officers of a Design-Builder which is a corporation.
- All current partners of a Design-Builder which is a partnership.
- All current joint venturers of the joint venture Design-Builder which is seeking prequalification.

Adverse responses are taken under consideration and considered on a case by case basis. When responding to answers on a separate page, please provide the question and question number.

A-1 How many years has the Design-Builder been licensed in California?

Years: _____

A-2. Is the Design-Builder or its associates currently the debtor in a bankruptcy or receivership case?

Yes No (pass)

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

A-3. Has the Design-Builder or its associates ever been in bankruptcy or receivership at any time (This question refers only to a bankruptcy action that was not described in answer to question A-2, above)

Yes No (pass)

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed.

A-4. Has the Design-Builder, its associates, or managing employees ever been assessed liquidated damages of more than a total **\$15,000** on a construction contract with either a public or private owner?

Yes No (pass)

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

If yes, explain on a separate page, identifying all such projects by owner, owner's address, name of entity against whom assessment was made, the date of completion of the project, total amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

- A-5. Has the Design-Builder, its associates or managing employees ever been declared by an owner, or found by an arbitrator or court to be in default on a construction contract?

Yes No (pass)

If "yes," explain on a separate page.

- A-6. Has the Design-Builder, its associates or managing employees, been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No (pass)

If "yes," explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- A-7. Has the Design-Builder, its associates or managing employees ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible or responsive bidder?

Yes No (pass)

If "yes," on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between Design-Builders and owners of projects. You need not include information about disputes with suppliers, other contractors, or subcontractors. You need not include information about "pass-through" disputes in which the actual dispute is between a subcontractor and a project owner.)

- A-8. In the past five years has any claim in excess of **\$30,000** been filed in court, arbitration, or other dispute resolution proceeding against the Design-Builder or its associates concerning their work on a construction project?

Yes No (pass)

If "yes," on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

A-9. In the past five years has the Design-Builder or its associates made any claim in excess of **\$30,000** against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes No (pass)

If "yes," on a separate page identify the claim by providing the name of claimant, the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

A-10. Has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the Design-Builder or its associates due to non-payment or contractor losses?

Yes No (pass)

If "yes," on a separate page give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal.

A-11. Has the Design-Builder, its associates or managing employees ever been found liable in a civil suit or found guilty in a criminal action for, or legally admitted for the purpose of a criminal plea to making any false claim or material misrepresentation to any public entity?

Yes No (pass)

If "yes," explain on a separate page, 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.

A-12. Has the Design-Builder, its associates, or managing employees ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No (pass)

If "yes," explain on a separate page, 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.

A-13. Has the Design-Builder, its associates or managing employees ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes No (pass)

If "yes," identify on a separate page, the person or persons convicted, the court and case number, the crimes, and the year convicted.

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

A-14. Has there ever been a period of time when the Design-Builder or its associates had no surety bond in place during a public construction project when one was required?

Yes No (pass)

If yes, indicate the period during which no surety bonds were in place, name of entity without the surety bond, the name of project owner, and if coverage was denied, the date coverage was denied and the name of the company that denied coverage.

A-15. Has CAL OSHA cited and assessed penalties against the Design-Builder, its associates or managing employee for any "serious," "willful" or "repeat" violations of its safety or health regulations?

(NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.)

Yes No (pass)

If "yes," on separate page describe the citation, number of cases, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision.

A-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the Design-Builder, its associates or managing employees?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

Yes No (pass)

If "yes," on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

A-17. Has the Environmental Protection Agency, any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the Design-Builder, its associates, managing employees or the owner of a project during the time in which the preceding parties were performing on a contract?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

Yes No (pass)

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

If "yes," on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

A-18. How often does the Design-Builder require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

- At least once a week
- Once every two weeks
- Less than every two weeks

A-19. List the Design-Builder's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

(NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.)

Year: 2014	EMR: _____
Year: 2013	EMR: _____
Year: 2012	EMR: _____

If your EMR for any of these three years is 1.00 or higher you may attach a letter of explanation.

A-20. Has there ever been a period when the Design-Builder or its associates had employees but was without workers' compensation insurance or state-approved self-insurance?

- Yes No (pass)

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the Design-Builder

A-21. Has there been one or more than one occasion in which the Design-Builder or its associates were required to pay either back wages or penalties for failure to comply with the state's prevailing wage laws?

- Yes No (pass)

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed, the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed.

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

A-22. Has there been more than one occasion in which the Design-Builder or its associates were penalized or required to pay back wages for failure to comply with the Federal Davis-Bacon prevailing wage requirements?

Yes No (pass)

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed.

A-23. If the Design-Builder operates its own State-approved apprenticeship program, provide the following information on a separate page:

- (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

A-24. Has the Design-Builder its associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

Yes No (pass)

If "yes," provide the date of the findings and attach a copy of the final decision.

Date of Findings: _____

A-25. Do agreements exist between the Design-Builder and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices for all apprenticeable crafts which may be employed by the Design-Builder on this project?

(This graduation requirement shall not apply to programs providing apprenticeship training for any craft that has not been deemed by the Department of Labor and the Department of Industrial Relations to be an apprenticeable craft within the period of October 1995 to October 2000.)

Yes (pass) No

QUESTIONS FOR THE GENERAL CONTRACTOR

The term "General Contractor" means the member of the Design-Builder that will have the primary responsibility for the construction of the project. Duplicate and submit for each General Contractor if more than one.

The term "Associates" shall mean all of the following:

- The current qualifiers for all current Contractors State License Board contracting licenses held by the Design-Builder.
- All current officers of a Design-Builder which is a corporation.
- All current partners of a Design-Builder which is a partnership.
- All current joint venturers of the joint venture Design-Builder which is seeking prequalification.

Adverse responses are taken under consideration and considered on a case by case basis. When responding to answers on a separate page, please provide the question and question number.

B-1 How many years has the General Contractor been licensed in California?

Years: _____

B-2. Is the General Contractor or its associates currently the debtor in a bankruptcy or receivership case?

Yes No (pass)

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed. If more than 1 case, provide information on a separate sheet of paper.

_____	_____	_____
Case Number	Bankruptcy Court	Date Filed

B-3. Was the General Contractor or its associates in bankruptcy or receivership at any time? (This question refers only to a bankruptcy action that was not described in answer to question A-2, above)

Yes (pass) No

If "yes," indicate the case number, bankruptcy court, and the date on which the petition was filed. If more than 1 case, provide information on a separate sheet of paper.

_____	_____	_____
Case Number	Bankruptcy Court	Date Filed

B-4. Has the General Contractor or its associates been assessed liquidated damages of more than a total of **\$30,000** on a construction contract with either a public or private owner?

Yes No (pass)

If more than 1 case, provide information on a separate sheet of paper.

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

If yes, explain on a separate page, identifying all such projects by owner, owner's address, name of entity against whom assessment was made, the date of completion of the project, amount of liquidated damages assessed and all other information necessary to fully explain the assessment of liquidated damages.

- B-5. Has the General Contractor, its associates or managing employees ever been declared by an owner, or found by an arbitrator or court to be in default on a construction contract?

Yes No (pass)

If "yes," explain on a separate page.

- B-6. Has the General Contractor, its associates or managing employees, ever been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No (pass)

If "yes," explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- B-7. Has the General Contractor, its associates or managing employees ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible or responsive bidder?

Yes No (pass)

If "yes," on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

(NOTE: The following two questions refer only to disputes between contractors and owners of projects. You need not include information about disputes with suppliers, other contractors, or subcontractors. You need not include information about "pass-through" disputes in which the actual dispute is between a subcontractor and a project owner.)

- B-8. In the past five years has any claim in excess of **\$30,000** been filed in court, arbitration or other dispute resolution proceeding against the General Contractor or its associates concerning their work on a construction project?

Yes No (pass)

If "yes," on a separate page identify the claim(s) by providing the project name, date of the claim, name of the claimant, the name of the entity the claim was filed against, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

B-9. In the past five years has the General Contractor or its associates made any claim in excess of **\$30,000** against a project owner concerning work on a project or payment for a contract and filed that claim in court or arbitration?

Yes No (pass)

If "yes," on a separate page identify the claim by providing the name of claimant, the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

B-10. Has any insurance carrier, for any form of insurance, refused to renew the insurance policy for the General Contractor or its associates due to non-payment or contractor losses?

Yes No (pass)

If "yes," on a separate page give name of the insured, name the insurance carrier, the form of insurance, and the year of the refusal.

B-11. Has the General Contractor, its associates or managing employees ever been found liable in a civil suit or found guilty in a criminal action for, or legally admitted for the purpose of a criminal plea to making any false claim or material misrepresentation to any public entity?

Yes No (pass)

If "yes," explain on a separate page, 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.

B-12. Has the General Contractor, its associates or managing employee ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No (pass)

If "yes," explain on a separate page, 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.

B-13. Has the General Contractor, its associates or managing employees ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes No (pass)

If "yes," identify on a separate page, the person or persons convicted, the court and case number, the crimes, and the year convicted.

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

B-14. Has there ever been a period of time when the General Contractor or its associates had no surety bond in place during a public construction project when one was required?

Yes No (pass)

If yes, indicate the period during which no surety bonds were in place, name of entity without the surety bond, the name of project owner, and if coverage was denied the date coverage was denied and the name of the company that denied coverage.

B-15. Has CAL OSHA cited and assessed penalties against the General Contractor, its associates managing employees for any "serious," "willful" or "repeat" violations of its safety or health regulations.?

(NOTE: If you have filed an appeal of a citation, and the Occupational Safety and Health Appeals Board has not yet ruled on your appeal, you need not include information about it.)

Yes No (pass)

If "yes," on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any OSHAB decision.

B-16. Has the Federal Occupational Safety and Health Administration cited and assessed penalties against the General Contractor, its associates or managing employees ?

(NOTE: If an appeal of the citation has been filed and the Appeals Board has not yet ruled, or if there is a court appeal pending, you need not include information about the citation.)

Yes No (pass)

If "yes," on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

B-17. Has the Environmental Protection Agency , any Air Quality Management District or any Regional Water Quality Control Board cited and assessed penalties against either the General Contractor, its associates, managing employees or the owner of a project during the time in which the preceding parties were performing on a contract?

(NOTE: If an appeal of the citation has been filed and there is no ruling yet, or if there is a court appeal pending, you need not include information about the citation.)

Yes No (pass)

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

If "yes," on separate page describe the citations, the party against whom the citation was made, date of citation, nature of the violation, project on which the citation was issued, owner of project, and the amount of penalty paid, if any. State the case number and date of any decision.

B-18. How often does the General Contractor require documented safety meetings to be held for construction employees and field supervisors during the course of a project?

- At least once a week
 Once every two weeks
 Less than every two weeks

B-19. List the General Contractor's Experience Modification Rate (EMR) (California workers' compensation insurance) for each of the past three premium years:

(NOTE: An Experience Modification Rate is issued to your firm annually by your workers' compensation insurance carrier.)

Year: 2014 EMR: _____
Year: 2013 EMR: _____
Year: 2012 EMR: _____

If your EMR for any of these three years is 1.00 or higher you may attach a letter of explanation.

B-20. Has there ever been a period when the General Contractor or its associates had employees but was without workers' compensation insurance or state-approved self-insurance?

- Yes No (pass)

If "yes," please explain the reason for the absence of workers' compensation insurance on a separate page. If "No," please provide a statement by your current workers' compensation insurance carrier that verifies periods of workers' compensation insurance coverage for the General Contractor

B-21. Has there been more than one occasion in which the General Contractor or its associates were required to pay either back wages or penalties for failure to comply with the state's prevailing wage laws?

- Yes No (pass)

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed, the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed.

B-22. Has there been more than one occasion in which the General Contractor or its associates were penalized or required to pay back wages for failure to comply with the Federal Davis-Bacon

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

prevailing wage requirements?

Yes No (pass)

If "yes," attach a separate page, describing the violator, nature of each violation, name of the project, date of its completion, the public agency for which it was constructed; the number of employees who were initially underpaid and the amount of back wages and penalties that were assessed.

B-23. If the General Contractor operates its own State-approved apprenticeship program, provide the following information on a separate page:

- (a) Identify the craft or crafts in which you provided apprenticeship training in the past year.
- (b) State the year in which each such apprenticeship program was approved, and attach evidence of the most recent California Apprenticeship Council approval(s) of your apprenticeship program(s).
- (c) State the number of individuals who were employed by your firm as apprentices at any time during the past three years in each apprenticeship and the number of persons who, during the past three years, completed apprenticeships in each craft while employed by your firm.

B-24. Has the General Contractor or its associates been found to have violated any provision of California apprenticeship laws or regulations, or the laws pertaining to use of apprentices on public works?

Yes No (pass)

If "yes," provide the date of the findings and attach a copy of the final decision.

Date of Findings: _____

B-25. Do agreements exist between the General Contractor and registered apprenticeship programs which have been approved by the California Apprenticeship Council and have graduated apprentices, for all apprenticeable crafts which may be employed by the General Contractor on this project?

Yes (pass) No

QUESTIONS FOR THE ARCHITECT OF RECORD

The Architect of Record is the Architect who will have primary responsibility for design work under the contract. Attach copies if more than one Architect of Record.

“Firm” shall mean the firm that employs the Architect of Record.

The nature of the project will dictate the discipline(s) of the Architect of Record (s). Attach additional copies if more than one Architect of Record.

Name of Principal Architect of Record: _____

Name of Firm: _____

Adverse responses are taken under consideration and considered on a case by case basis. When responding to answers on a separate page, please provide the question and question number.

C-1. How many years has the Architect of Record been licensed and practicing in California?

Years: _____

C-2. Is the firm currently the debtor in a bankruptcy or receivership case?

Yes No (pass)

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Case Number Bankruptcy Court Date Filed

C-3. Was the firm in bankruptcy or receivership at any time? (This question refers only to a bankruptcy action that was not described in answer to question C-2, above)

Yes No (pass)

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed. If more than 1 case, provide information on a separate sheet of paper.

Case Number Bankruptcy Court Date Filed

C-4. In the past five years has any claim in excess of **\$30,000** been filed in court, arbitration, or other dispute resolution proceeding against the Architect of Record or the firm concerning its engineering work on a project?

Yes No (pass)

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

If “yes,” identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- C-5. Has the Architect of Record or the firm been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No (pass)

If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- C-6. Has the Architect of Record or the firm or its managing employees ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible or responsive bidder as required by statute for all members of the DBE?

Yes No (pass)

If “yes,” on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

- C-7. In the past five years has the Architect of Record or the firm made any claim in excess of **\$30,000** against a project owner concerning engineering work on a project and filed that claim in court or arbitration?

Yes No (pass)

If “yes,” on separate page identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- C-8. Has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Architect of Record or the firm based on non-payment or losses?

Yes No (pass)

If “yes,” on separate page give name the insurance carrier, the form of insurance and the year of the refusal.

- C-9. Has the Architect of Record or the firm or its managing employees ever been found liable in a civil suit or found guilty in a criminal action for, or legally admitted for the purpose of a criminal plea to making any false claim or material misrepresentation to any public agency or entity?

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

Yes No (pass)

If “yes,” on a separate page identify who was found liable or convicted, the name of the public agency, the court and case number, the date of the investigation and the grounds for the finding.

C-10. Has the Architect of Record or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No (pass)

If “yes,” on a separate page identify 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.

C-11. Has the Architect of Record or the firm ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes No (pass)

If “yes,” on a separate page identify who was convicted, the court and case number, the crimes and the year convicted.

C-12. Has the Department of Consumer Affairs taken any disciplinary action against the Architect of Record?

Yes No (pass)

If yes, please explain on a separate page.

SCORED QUESTIONS FOR THE DESIGN ARCHITECT

The Design Architect is the Architect who will have design responsibility in addition to the Architect of Record.

“Firm” shall mean the firm that employs the Design Architect.

The nature of the project will dictate the discipline(s) of the Design Architect (s).

Name Design Architect: _____

Name of Firm: _____

Adverse responses are taken under consideration and considered on a case by case basis. When responding to answers on a separate page, please provide the question and question number.

D-1. How many years has the Design Architect been licensed and practicing in California?

Years: _____

D-2. Is the firm currently the debtor in a bankruptcy or receivership case?

Yes No (pass)

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed.

Case Number Bankruptcy Court Date Filed

D-3. Was the firm in bankruptcy or receivership at any time? (This question refers only to a bankruptcy action that was not described in answer to question C-2, above)

Yes No (pass)

If “yes,” indicate the case number, bankruptcy court, and the date on which the petition was filed. If more than 1 case, provide information on a separate sheet of paper.

Case Number Bankruptcy Court Date Filed

D-4. In the past five years has any claim in excess of **\$30,000** been filed in court, arbitration, or other dispute resolution proceeding against the Design Architect or the firm concerning its design work on a project?

Yes No (pass)

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

If “yes,” identify the claim(s) by providing the project name, date of the claim, name of the claimant, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending or, if resolved, a brief description of the resolution).

- D-5. Has the Design Architect or the firm been debarred, disqualified, removed or otherwise prevented from bidding on, or completing, any government agency or public works project for any reason?

Yes No (pass)

If “yes,” explain on a separate page. State the name of the organization debarred, the year of the event, the owner of the project, and the basis for the action.

- D-6. Has the Engineer of Record or the firm or its managing employees ever been denied an award of a public works contract based on a finding by a public agency that they were not a responsible or responsive bidder?

Yes No (pass)

If “yes,” on a separate page identify the year of the event, the entity denied the award, the owner, the project, and the basis for the finding by the public agency.

- D-7. In the past five years has the Design Architect or the firm made any claim in excess of **\$30,000** against a project owner concerning engineering work on a project and filed that claim in court or arbitration?

Yes No (pass)

If “yes,” on separate page identify the claim by providing the project name, date of the claim, name of the entity (or entities) against whom the claim was filed, a brief description of the nature of the claim, the court and case number, and a brief description of the status of the claim (pending, or if resolved, a brief description of the resolution).

- D-8. Has any insurance carrier, for any form of insurance, refused to renew an insurance policy for the Design Architect or the firm based on non-payment or losses?

Yes No (pass)

If “yes,” on separate page give name the insurance carrier, the form of insurance and the year of the refusal.

- D-9. Has the Design Architect or the firm or its managing employees ever been found liable in a civil suit or found guilty in a criminal action for, or admitted legally for the purpose of a criminal plea to making any false claim or material misrepresentation to any public agency or entity?

County of San Mateo Animal Care Shelter Project
Request for Qualifications for DBE

Yes No (pass)

If "yes," on a separate page identify who was found liable or convicted, the name of the public agency, the court and case number, the date of the investigation and the grounds for the finding.

D-10. Has the Design Architect or the firm ever been convicted of a crime involving any federal, state, or local law related to construction?

Yes No (pass)

If "yes," on a separate page identify 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.

D-11. Has the Design Architect or the firm ever been convicted of a federal or state crime of fraud, theft, or any other act of dishonesty?

Yes No (pass)

If "yes," on a separate page identify who was convicted, the court and case number, the crimes and the year convicted.

D-12. Has the Department of Consumer Affairs taken any disciplinary action against the Design Architect?

Yes No (pass)

If yes, please explain on a separate page.

Tab 4 - FINANCIAL QUESTIONS FOR THE DESIGN BUILDER

A. Please fill in the following blanks based on the Design Builder’s latest audited financial statement. If Design Builder is Joint Venture, Partnership, etc., combine assets and liabilities.

Current Assets:	\$ _____
Current Liabilities:	\$ _____
Total Net Worth:	\$ _____
Current Ratio (Assets/Liabilities):	_____
Working Capital (Current Assets - Current Liabilities):	\$ _____

(Three years of certified financial statements for each member of the DBE are required, If Joint Venture, Partnership, etc., financial information shall be combined).

County of San Mateo Animal Care Shelter Project

San Mateo, California 94401

Request for Design-Build Entity Qualifications

Statement of Qualifications

Part B – Qualification Experience

Tab 5: Narrative & Organizational Chart

Tab 6: Personnel Resumes

Tab 7: Project Profile & References

Tab 8: Working Relationship Matrix

Tab 9: Project Management Approach

Tab 10: Letter from Surety and Letter(s) from Insurance Carriers

It is anticipated the templates in this section will be recreated for ease of use in preparing responses.

Please insure that all of the information on each template is provided in the exact sequence and format as it is on the template including elements in bold.

Tab 5 – NARRATIVE & ORGANIZATIONAL CHART

The information requested in this section is intended to provide the selection team an understanding of the DBE's staffing rationale and how they propose to organize their team to successfully execute the project.

The DBE shall describe why this particular team has been assembled for this particular Project. List proposed key DBE personnel that will be assigned to and responsible for completion of the work on this Project and indicate their roles and responsibilities. Include an organization chart (or charts) for design and construction operations primary team members as identified in Item 2 Personnel Resumes below. The Narrative and Organization Chart shall be limited to three (3) pages. A folded 11 x 17 sheet may be used for the organization chart and will count as one page.

Tab 6 – PERSONNEL RESUME

DBE Personnel Position: _____

Include this template and a maximum of 2 additional pages of resume per personnel.

Name _____ Title: _____

Firm: _____

Years of Experience: _____ **Years with this Firm:** _____

Education: _____

Active Registration, Licenses or Credentials: _____

Awards _____

Responsibilities on this Project: _____

Experience: Identify relevant projects on which employee has worked. Include a brief description of the project and **specifically** identify employee’s roles, responsibilities and duration of involvement on the project.

Experience on similar projects: _____

Experience with California Essential Services Facilities: _____

Experience with Communications Related Facilities, including Emergency Operations Center, 911 Call Center, and Dispatch: _____

Design-Build Experience: _____

Experience with Facilities Construction for Public Sector Clients (Animal Shelter experience is preferred) (Identify California Projects): _____

Experience with energy efficiency/sustainable building design measures: _____

Other experience, training, education, and qualifications relevant to the proposed project: _____

Describe what makes this individual uniquely suited for this assignment? _____

This form may be reproduced/reprinted for use on each of the required project profiles.

Tab 7 – PROJECT PROFILE SUMMARY/REFERENCES

To be completed for each project listed in Project Profiles and Project References sheet.

These : _____
(Contractor or Architect)

PROJECT NUMBER/NAME:	
Reference Firm Name:	
Contact Name:	Title:
Phone Number:	E-mail:
Relationship to Project:	

PROJECT NUMBER/NAME:	
Reference Firm Name:	
Contact Name:	Title:
Phone Number:	E-mail:
Relationship to Project:	

PROJECT NUMBER/NAME:	
Reference Firm Name:	
Contact Name:	Title:
Phone Number:	E-mail:
Relationship to Project:	

PROJECT NUMBER/NAME:	
Reference Firm Name:	
Contact Name:	Title:
Phone Number:	E-mail:
Relationship to Project:	

PROJECT NUMBER/NAME:	
Reference Firm Name:	
Contact Name:	Title:
Phone Number:	E-mail:
Relationship to Project:	

Tab 7 – PROJECT PROFILES

Project Name/Number: _____
(Project Name/No. shall match with the Project Profile Summary)

Include this template and a maximum of 1 additional page of information per project.

Firm: _____

Firms Role on Project: _____

Project Name: _____

Location: _____

Project Description: _____

Firms Project Manager: _____

Personnel on project being proposed for this Project: _____

General Contractor (if not Firm): _____

Architect of Record (if not Firm): _____

Construction Manager: _____

Other Relevant Entities: _____

Project Type: _____ Gross Square Footage: _____

Scheduled Completion Date: _____ Actual Completion Date: _____

Explain Difference, if any: _____

Original Construction Contract Amount: _____ Final Construction Contract Amount: _____

Explain Difference, if any: _____

Delivery Method: _____

Sustainable Building Measures Incorporated: _____

Relevance to this Project: _____

Awards: _____

Project Owner: _____

Owner's Representative: _____

e-Mail: _____ Telephone: _____

This form may be reproduced/reprinted for use on each of the required project profiles.

Tab 8 – WORKING RELATIONSHIP MATRIX

	1	2	3	4	5	6	7	8	9	10
Name of Project:										
Project Executive _____										
Name										
DBE Project Director _____										
Name										
Design Project Manager _____										
Name										
Architect of Record _____										
Name										
Design Architect _____										
Name										
Construction Team Project Manager _____										
Name										
General Superintendent _____										
Name										
MEP Superintendent _____										
Name										

Check boxes to indicate which projects team members have worked on. If a member has not worked on a project leave the box blank. Project names should match the names on the Project Profile Summary.

Tab 9 – Project Management Approach

The information requested in this section is intended to provide the selection team an understanding of how the DBE intends to manage the design and construction of the project and why their specific approach is best suited to achieve success on the project.

Describe the DBE’s approach to managing this Project and include the DBE’s philosophy and methodology regarding design-build. This section is limited to eight (8) pages. The DBE shall demonstrate its understanding of how the design-build process will achieve best value for County of San Mateo by describing how successful delivery strategies and lessons learned on previous similar projects will be utilized on this project to achieve best value and timely project delivery. The DBE shall also discuss their process and procedures for integrating the County stakeholders in the design-build process throughout design and construction and to ensure the stakeholder critical features are incorporated in the Project.

Tab 10 – Letter from Surety and Letter(s) from Insurance Carriers

**** End ****