**Base Qualification Documents (Version B)**

**Cover Sheet and Instructions**

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| --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | APPROVED DOCUMENT – This document is approved by the Office of the President and Office of the General Counsel for use by the Facility. | | | | |
|  | | |  | | | | |
| **PURPOSE OF DOCUMENT:** | Used for annual qualification of Prime Contractors and Mechanical, Electrical, and Plumbing (MEP) subcontractors for competitive informally bid UC construction projects, pursuant to Public Contract Code (PCC) §10504.5. | | | | | | |
| **CONTENTS:** | **Facility may use this alternative version of the Base Qualifications questionnaire for competitive informally bid construction projects when the cost of construction (labor plus material) exceeds $300,000 but does not exceed $640,000.** | | | | | | |
| **FOR USE WITH:** | **Projects competitively bid through UC Informal Bid process.** | | | | | | |
| **COMPLETED BY:** | √ | Filling in | | √ | Adding Text |  | No Data Required |
| **ITS USE IS:** | √ | Required | |  | Optional | | |

**Modifications and Additions: that exceed**

1. This document is an alternative version of a “core” document. Revisions to this document are made and issued only by the Office of the President.
2. A Contractor will be pre-qualified if the responses submitted to all questions in the Essential Criteria and Pre-qualification Criteria sections are deemed acceptable as described below. If required, the awarding body will review and evaluate the supporting documentation.
3. Essential Criteria Questions: A Contractor will be automatically disqualified if:

Any answer to questions 2 through 10 is “NO”

Any answer to questions 11 through 16 is “YES”

If the Contractor meets the requirements of the Essential Criteria Questions, the awarding body may assume that the Contractor has passed this section. However, the awarding body may require additional information to verify the accuracy of the responses provided in this section.

1. Pre-Qualification Criteria Questions: Contractors are required to answer questions 17 through 20 and provide additional information to the awarding body for answers that are not “0”. The awarding body will then calculate a score for the Pre-Qualification Criteria to determine eligibility for pre-qualification. If all of the Contractor’s responses to questions 17 through 20 are “0” the awarding body may assume that the Contractor has passed this pre-qualification section. However, the awarding body may require additional information from the Contractor to verify the accuracy of the responses provided.

If the answer to any of questions 17 through 20 is not “0”, additional scrutiny is required and the awarding body will analyze the information provided. If the information provided as backup for any question is not consistent with the response provided, the Contractor is subject to disqualification.

The awarding body will review the additional documents to calculate a final score between 1 and 5 for each question. A score of 1 is assigned where only a single incident exists, a score of 2 is assigned where two incidents exist, etc. up to a score of 5 assigned where five or more incidents of that kind exist.

1. A contractor pre-qualifies only if the overall score is 7 or less and is disqualified if the overall score is greater than 7.

<End>

**Base Qualification**

**Questionnaire**

**(Version B)**

**BASE QUALIFICATION QUESTIONNAIRE**

As used herein, the term “entity” and “Contractor” shall both mean the California licensed contractor submitting this Base Qualification Questionnaire.

SUBMITTED BY:

Corporation  Partnership  Sole Proprietor  Joint Venture  Other \_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |
| --- | --- | --- |
|  | | |
| Business Entity Name | | |
|  | | |
| California Contractors License Number(s) | | |
|  | | |
| Contact Name | | |
|  | | |
| (Address) | | |
|  | | |
| City, State, Zip Code | | |
|  |  |  |
| Telephone Number |  | Facsimile Number |
|  |  |  |
|  | | |
| E-mail | | |
| List entity’s primary owners, officers, and/or partners below (name and title): | | |
|  | | |
|  | | |
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|  | | |
|  | | |
|  | | |

Select any of the following if applicable to the contractor:

Small Business Enterprise (SBE)   Disabled Veteran Business Enterprise (DVBE)

**The definitions of SBE/DVBE can be found here:** <https://ucop.edu/sbe-dvbe-certifications>

|  |  |  |
| --- | --- | --- |
| 1. | Contractor requests that it be Base Qualified to submit bids for UC  projects in the following capacity or capacities (check all that apply): | General Contractor |
| Mechanical Contractor |
| Electrical Contractor |
| Plumbing Contractor |

**For Base Question No. 1, select all answers that apply.**

**ESSENTIAL CRITERIA QUESTIONS**

**Contractor will *not be Base Qualified* if the answer to any of questions 2 through 10 is “*no*”. Choose only one (1) answer for each question. If more than one answer applies, choose the most relevant response.**

|  |  |  |  |
| --- | --- | --- | --- |
| 2. | Contractor possesses a valid and current California Contractors License for the project(s) for which it intends to submit bids on? | Yes | No |
| 3. | Contractor has a liability insurance policy with a policy limit of at least $1,000,000 per occurrence and $2,000,000 aggregate? | Yes | No |
| 4. | Contractor meets one of the following criteria: (a) has current workers’ compensation insurance policy as required by the Labor Code, (b) is legally self-insured pursuant to Labor Code section 3700 et. seq., or (c) can certify that it is exempt from workers’ compensation requirements because it has no employees? | Yes (a)  **OR**  Yes (b)  **OR**  Yes (c) | No |
| 5. | Contractor is currently registered with the California Department of Industrial Relations as a public works contractor pursuant to Division 2, Part 7, Chapter 1(commencing with section 1720) of the California Labor Code? | Yes | No |
| 6. | Contractor has either: (a) attached a financial statement\* showing its gross annual income and expenses for the last three (3) years, or (b) is exempt from this requirement as a small business entity under PCC§ 10504.5(b)?  \*The submitted Financial Statement will be considered confidential and University of California will maintain its confidentiality to the extent permitted by law. | Yes (a)  **OR**  Yes (b) | No |
| 7. | Contractor’s intended surety insurer is “admitted” (as approved by the California Department of Insurance) and authorized to issue bonds in the State of California? | Yes | No |
| 8. | Contractor has sufficient bonding capacity for all project(s) it intends to submit bids on? | Yes | No |
| 9. | Entity has either: (a) successfully completed a prior construction project with a total cost in excess of $300,000, or (b) will only be submitting bids as a mechanical, electrical, or plumbing contractor? | Yes (a)  **OR**  Yes (b) | No |
| 10. | Contractor agrees to comply with all applicable UC provisions regarding nondiscrimination, payment of prevailing wages, payroll records, apprentices, and working days? | Yes | No |

**Contractor will *not be Base Qualified* if the answer to any of questions 11 through 16 is “*yes*”.**

|  |  |  |  |
| --- | --- | --- | --- |
| 11. | Contractor has one or more Final Order (as declared by OSHA) Willful Violations in California of Part 1 Section 6300 of Division 5 of the Labor Code within the last five (5) years? | Yes | No |
| 12. | Entity’s California Contractors License has been revoked in the last five (5) years? | Yes | No |
| 13. | One or more surety firms have completed a contract on the entity’s behalf, or paid for completion because the entity was default terminated by a project owner within the last five (5) years? | Yes | No |
| 14. | Contractor is currently ineligible to bid on or be awarded a public works contract, or 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 |
| 15. | At any time during the last five years, the entity, or any of its owners or officers have been convicted of a crime involving the bidding, award, or performance of a public contract? | Yes | No |
| 16. | The entity is currently, or has at any time in the last five (5) years been the debtor in a bankruptcy case? | Yes | No |

**PREQUALIFICATION CRITERIA QUESTIONS**

Contractors are required to answer questions 17 through 20 and provide additional information to the awarding body for answers that are not “0”. The awarding body will then calculate a score for the Pre-Qualification Criteria to determine eligibility for pre-qualification. If all of the Contractor’s responses to questions 17 through 20 are “0” the awarding body may assume that the Contractor has passed this pre-qualification section. However, the awarding body may require additional information from the Contractor to verify the accuracy of the responses provided.

If the answer to any of questions 17 through 20 is not “0”, additional scrutiny is required, and the awarding body will analyze the information provided. If the information provided as backup for any question is not consistent with the response provided, the Contractor is subject to disqualification. The awarding body will review the additional documents to calculate a final score between 1 and 5 for each question. A score of 1 is assigned where only a single incident exists, a score of 2 is assigned where two incidents exist, etc. up to a score of 5 is assigned where five or more incidents of that kind exist.

|  |  |  |
| --- | --- | --- |
| 17. | How many times in the last five years has your firm been assessed and paid liquidated damages after completion of a project under a construction contract with either a public or private owner?  (Explain on a separate sheet. Identify all such projects by owner, owner’s address, date of completion of the project, amount of liquidated dam ages assessed and all other information necessary to fully explain the assessment of liquidated damages.) | 0  1  2  3  4  5+ |
| 18. | How many times during the last five years, has your firm been required to pay back wages and/or penalties related to state or federal prevailing wage laws, including laws governing the employment of apprentices, for work performed by your firm?  (Explain on a separate sheet. Describe the nature of each violation and identify the name of the project, date of its completion, public agency for which it was constructed, number of employees underpaid, and amount(s) of back wages and penalties your firm was required to pay.) **NOTE: Question 18 refers only to the violation of prevailing wage laws by your firm, not to violations by a subcontractor.** | 0  1  2  3  4  5+ |
| 19 | How many times in the last five years has any insurance carrier, for any form of insurance, refused to renew an insurance policy for your firm?  (Explain on a separate sheet. Name the insurance carrier, form of insurance, and year of refusal.) | 0  1  2  3  4  5+ |
| 20. | How many times during the last five years, has your firm been denied bond coverage by a surety company, or has there been a period of time when your firm had no surety bond in place during a public works construction project when one was required?  (Explain on a separate sheet. Indicate the date when your firm was denied coverage, name of the company or companies which denied coverage, and the time period during which you had no surety bond in place.) | 0  1  2  3  4  5+ |

Total Score:

**BASE QUALIFICATION DECLARATION**

I,  (Printed Name),

hereby declare that I am the (Title)

of (Name of Entity)

submitting this Base Qualification Questionnaire; that I am duly authorized to sign this Base Qualification Questionnaire on behalf of the above-named entity. I declare under penalty of perjury that all information set forth in this Base Qualification Questionnaire and all attachments hereto are, to the best of my knowledge, true, accurate and complete as of its submission date.

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

(Signature) (Date)