

Prime Contractor Prequalification Application

Step 1 – Complete the Application Form

- DUNS Number – Include your nine-digit DUNS number (or apply through Dun & Bradstreet if you don't have one).
- Fill out all sections (no blanks—if not applicable, write 'N/A').
- Sign and date the Certification & Authorization Form.
- Identify the disciplines/trades for which you seek prequalification.
- Complete the Experience on Completed/Ongoing Projects form (at least 3 projects).

Step 2 – Gather Required Supporting Documents

- Financial Statements – Last 3 years (audited if available; at minimum include balance sheet, income statement, and notes).
- Insurance Certificates – Proof of coverage meeting UPenn's minimum requirements.
- Licenses – Copies of all current trade licenses, plus City of Philadelphia Business Privilege License (if working in Philadelphia).
- Union Affiliation – Confirmation that all labor (including subcontractors) is AFL-CIO union.
- Work History – Project sheets for at least 3 projects from the past 2 years.
- OSHA Violations – If applicable, provide citation(s), settlement(s), and resolution details for any violations in the past 5 years.
- Resumes & Org Chart – For all principals and key personnel listed in the application.

Step 3 – Submit Your Application

Send completed and signed package to:

Ms. Karen Gibson, Capital Contracts Manager ■ Email (preferred): kgib@upenn.edu
Ms. Halima Davis, Contracts Coordinator ■ Email(Preferred): halimad@upenn.edu

Facilities and Real Estate Services
University of Pennsylvania
3101 Walnut Street
Philadelphia, PA 19104

Step 4 – After Submission

- Application will be reviewed for completeness.
- If additional info is needed, you'll have 30 days to respond.
- Review Committee will vote to approve, deny, or request more info.
- If approved, you'll be prequalified for 3 years.

**UNIVERSITY OF PENNSYLVANIA
DEPARTMENT OF ACQUISITION SERVICES**

PREQUALIFICATION APPLICATION
PLEASE PRINT OR TYPE ALL INFORMATION

1. NAME OF APPLICANT FIRM _____

Tax ID No. _____ or SS No. _____

DUNS No. (See Instructions) _____

D/B/A Name (if any) _____

Applicant's Address _____

City _____ State _____ Zip _____

Mailing Address (if different) _____

City _____ State _____ Zip _____

Telephone No. (____) _____ FAX No. (____) _____

Corporate Website _____

Contact Person/Title _____

E-mail Address _____

**Contact Person/Title _____

**E-mail Address _____

2. BUSINESS ORGANIZATION OF APPLICANT

Date the applicant firm was formed _____

Type of Organization

☐ Corporation
State in which incorporated _____ Year _____

☐ Partnership
☐ General ☐ Limited
State and County where partnership filed _____

☐ Sole Proprietorship
Owner _____

☐ Not-for-Profit

☐ Joint Venture

****Estimator Name & e-mail address if different from Contact Person****

3. MINORITY BUSINESS STATUS

- a. Is the applicant firm certified as a Minority Business Enterprise (MBE) or Women Business Enterprise (WBE)?

☐ Yes

☐ No

APPLICANT'S INSURANCE INFORMATION – The University of Pennsylvania requires that evidence of insurance coverage be in effect during the term of any contract awarded by the University to the contractor. BINDERS ARE NOT ACCEPTABLE. Minimum Coverages Required by the University of Pennsylvania are:

Workers' Compensation – In accordance with Commonwealth of Pennsylvania statutory limits. Employer's Liability coverage shall not be less than \$100,000.

Commercial General Liability – Minimum combined limit of \$2,000,000 for both bodily injury and property damage liability coverage, per occurrence and in the aggregate for each annual policy period. Coverage shall be extended to include blanket contractual liability coverage, owners and contractors protective liability, products and completed operations coverage, personal injury liability hazards and incidental medical malpractice coverage.

Comprehensive Automobile Liability – coverage for all owned, non-owned or hired motor vehicles with limits of \$1,000,000 per accident for the bodily injury coverage and \$1,000,000 per accident for the property damage.

Excess Liability Protection - \$3,000,000 per occurrence, combined single limit and \$3,000,000 in the aggregate for each annual policy period.

Name of Primary Insurance Agent or Broker

Address

Telephone No. () FAX No. ()

Type of Coverages

	Commercial Gen. Liability	Auto Liability	Worker's Comp	Other
Policy No.				
Name of Carrier				
Amount – Single				
Amount – Aggregate				
Expiration Date				

5. APPLICANT'S BONDING INFORMATION

Name of Bonding Agent _____

Address _____

Telephone No. (____) _____ FAX No. (____) _____

Name of Bonding Company	Bonding Capacity (Single)	Bonding Capacity (Aggregate)

6. APPLICANT'S LICENSES AND CERTIFICATES – Provide information on licenses and certificates necessary for the type of work applicant firm will perform. Attach copies, including City of Philadelphia Business Privilege License and Certificate of Authority to do Business in the Commonwealth of Pennsylvania (if applicable)

Type of License or Certificate	Firm or Individual's Name	License No.	Expiration Date

7. CURRENT NUMBER OF EMPLOYEES

	Full Time	Part Time
Office		
Field		

8. PRINCIPALS AND KEY PERSONNEL IN FIRM - On the chart below, complete the required information. "Principals" and "Key Personnel" include any of the following:

- Proprietors, partners, directors, officers
- Any manager or individual who participates in overall policy-making or financial decisions for the firm
- Any person in a position to control and direct the firm's overall operations or any significant part of it's operation

Applicant firms that are publicly held corporations should list the president, treasurer, AND only those officers and managers who will have direct responsibility for PENN contracts.

Resumes for Principals and Key Personnel and firm's current Organizational Chart must be provided with this application.

a. Principals and Key Personnel (use additional paper if necessary)

	Person 1	Person 2	Person 3
Name			
Title			
% of Ownership			
No. of shares owned			

b. At present, do any of the Principals or Key Personnel listed in Question No. 8a own 25% or more of any other firm?

☐ Yes ☐ No

If "Yes", list below

Person	Firm Name	Address	Tax ID No.	% Owned

c. Is any Principal or Key Person listed in Question No. 8a a current employee or related by blood or marriage to any current employee of the University of Pennsylvania?

☐ Yes ☐ No

If "Yes", list below

Name of Principal or Key Person	Name of PENN Relative	Relationship

- d. Are any of the Principals or Key People listed in Question No. 8a related by blood or marriage to any owner or other key person in a firm that currently does work for the University of Pennsylvania?

☐ Yes ☐ No

If "Yes", list below

Name of Principal or Key Person	Name of Relative in Other Firm	Name of Other Firm

9. UNION AFFILIATIONS OF APPLICANT FIRM – All labor required to complete manpower requirements for University projects **must** be performed utilizing AFL-CIO trade union labor personnel.

- a. Does the applicant firm have a current union contract for its field personnel?

☐ Yes ☐ No

If "Yes", list below

Trade	Local	Contract Expiration Date

- b. Does the applicant firm pay prevailing union scale wages and benefits?

☐ Yes ☐ No

- c. In the last five (5) years, has the applicant firm participated in a state-approved apprenticeship program?

☐ Yes ☐ No

10. APPLICANT FIRM'S FINANCIAL INFORMATION

- a. Identify name of credit services (i.e. Dun & Bradstreet) and Account No.

Name of Credit Service	Account No.

- b. For each line of credit, unsecured loan or secured loan provided by a lending institution, list the following:

Amount of Credit	Outstanding Balance	Termination Date	Name/Address of Lending Institution

- c. Are there any liens outstanding against the applicant firm?

☐ Yes ☐ No

If "Yes", provide a detailed explanation with this application.

- d. Has the applicant firm or any of its current Principals or Key Personnel been party to a bankruptcy or reorganization proceeding within the last five (5) years?

☐ Yes ☐ No

If "Yes", provide a detailed explanation with this application.

- f. Annual sales dollar volume of firm _____

12. INTEGRITY OF APPLICANT FIRM – If applicant has answered "Yes" to any question below, a separate explanation must be supplied with this application.

During the past five (5) years, has the applicant firm ever:

- a. Been the subject of a lien or claim of \$25,000 or more by a subcontractor or supplier?

☐ Yes ☐ No

- b. Failed to complete a contract?

☐ Yes ☐ No

- c. Been suspended, debarred, disqualified or otherwise been declared ineligible to bid?

☐ Yes ☐ No

- d. Been defaulted on any contract?

☐ Yes ☐ No

- e. Had a contract terminated?

☐ Yes ☐ No

- f. Had liquidated damages assessed against it upon completion of a contract?

☐ Yes ☐ No

During the past five (5) years, has the applicant firm or any of its Principals or Key Personnel:

- a. Been a plaintiff or defendant in any lawsuits arising out of public or private construction contracts?
☐ Yes ☐ No
- b. Been the subject of an investigation involving any alleged violation of criminal law, civil antitrust law or other federal, state or local civil law?
☐ Yes ☐ No
- c. Been convicted after trial or by plea of any felony under state or federal law?
☐ Yes ☐ No
- d. Entered a plea of nolo contendere to a charge of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property or violation of an antitrust law?
☐ Yes ☐ No
- e. Been the subject of an investigation of any alleged violation of a federal, state, or local regulation by any public agency including, but not limited to, federal regulatory agencies such as EPA or SEC?
☐ Yes ☐ No
- f. Been found to have committed a violation of any labor law or regulation including prevailing wage rates and fair labor practices/
☐ Yes ☐ No
- g. Been found to have committed an OSHA "serious violation"?
☐ Yes ☐ No
- h. Been found to have committed a construction-related violation of federal, state, or local environmental law or regulation?
☐ Yes ☐ No

13. BIDDING CAPABILITY AND PREVIOUS EXPERIENCE – Indicate below the categories in which the applicant firm has previous experience. **Previous experience in a particular trade or activity by the firm is a prerequisite to prequalification in that category.** The applicant must provide a separate narration for each category selected indicating the applicant firm's experience and involvement with that work.

A. Specialty (check all appropriate)

- | | |
|---|--|
| ☐ 1. Research, Laboratories, Medical | ☐ 8. Paving |
| ☐ 2. Commercial, Retail | ☐ 9. Construction Management |
| ☐ 3. Residential | ☐ 10. Utilities |
| ☐ 4. Office | ☐ 11. Exterior Restoration (non-historic) |
| ☐ 5. Classroom | ☐ 12. Demolition |
| ☐ 6. Historic Preservation | ☐ 13. Materials Testing |
| ☐ 7. Landscape | ☐ 14. Elevator/Escalator |

B. CSI Division Specialty (check all appropriate). Applicant firm must have self-performing capability for each specialty selected.

- | | |
|---|---|
| ☐ 1. Sitework | ☐ 13. Conveying Systems |
| ☐ 2. Concrete | ☐ 14. Mechanical |
| ☐ 3. Masonry | ☐ 15. Electrical |
| ☐ 4. Metals | ☐ 16. Plumbing |
| ☐ 5. Carpentry | ☐ 17. HVAC |
| ☐ 6. Thermal and Moisture Protection | ☐ 18. Sprinkler |
| ☐ 7. Doors & Windows | ☐ 19. ATC |
| ☐ 8. Finishes | ☐ 20. Balancing |
| ☐ 9. Specialties | ☐ 21. Fire Alarms |
| ☐ 10. Equipment | ☐ 22. Security |
| ☐ 11. Furnishings | ☐ 23. Roofing |
| ☐ 12. Special Construction | ☐ 24. Asbestos Abatement |

C. Contract Capability (determined by size of previous work and bonding capacity)

- | | |
|---|--|
| ☐ 1. \$0 - \$10,000 | ☐ 7. \$0 - \$3,000,000 |
| ☐ 2. \$0 - \$50,000 | ☐ 8. \$0 - \$5,000,000 |
| ☐ 3. \$0 - \$100,000 | ☐ 9. \$0 - \$10,000,000 |
| ☐ 4. \$0 - \$250,000 | ☐ 10. \$0 - \$25,000,000 |
| ☐ 5. \$0 - \$500,000 | ☐ 11. \$0 - >\$25,000,000 |
| ☐ 6. \$0 - \$1,000,000 | |

If offered, are you willing to participate in projects less than \$100,000?

- ☐ Yes ☐ No

14. EXPERIENCE ON COMPLETED OR ONGOING PROJECTS – A separate sheet must be completed for a minimum of 3 projects.

Project #1

☐ Project Completed ☐ Work in Progress

☐ Prime Contractor ☐ Subcontractor ☐ Joint Venture Partner

Facility / Project Name _____

Address of Project _____

Owner _____

Contract Amount (Applicant's share) _____

Was this project bonded? ☐ Yes ☐ No

Were you required to possess a Performance and/or Payment Bond? ☐ Yes ☐ No

Start Date _____

Scheduled Completion Date _____ Actual Completion Date _____

Construction Manager _____

Architect _____

Reference familiar with your performance (Prime Contractor if applicant employed as subcontractor):

Name _____ Title _____

Telephone No. (____) _____ Fax No. (____) _____

Prime Contractor (if applicant worked as subcontractor) _____

% of work performed by applicant firm with applicant's own forces _____

Description of work performed by applicant firm _____

****Single projects values only. Do not include maintenance contracts.****

14. EXPERIENCE ON COMPLETED OR ONGOING PROJECTS –

Project #2

☐ Project Completed ☐ Work in Progress

☐ Prime Contractor ☐ Subcontractor ☐ Joint Venture Partner

Facility / Project Name _____

Address of Project _____

Owner _____

Contract Amount (Applicant's share) _____

Was this project bonded? ☐ Yes ☐ No

Were you required to possess a Performance and/or Payment Bond? ☐ Yes ☐ No

Start Date _____

Scheduled Completion Date _____ Actual Completion Date _____

Construction Manager _____

Architect _____

Reference familiar with your performance (Prime Contractor if applicant employed as subcontractor):

Name _____ Title _____

Telephone No. (____) _____ Fax No. (____) _____

Prime Contractor (if applicant worked as subcontractor) _____

% of work performed by applicant firm with applicant's own forces _____

Description of work performed by applicant firm _____

****Single projects values only. Do not include maintenance contracts.****

14. EXPERIENCE ON COMPLETED OR ONGOING PROJECTS

Project #3

☐ Project Completed ☐ Work in Progress

☐ Prime Contractor ☐ Subcontractor ☐ Joint Venture Partner

Facility / Project Name _____

Address of Project _____

Owner _____

Contract Amount (Applicant's share) _____

Was this project bonded? ☐ Yes ☐ No

Were you required to possess a Performance and/or Payment Bond? ☐ Yes ☐ No

Start Date _____

Scheduled Completion Date _____ Actual Completion Date _____

Construction Manager _____

Architect _____

Reference familiar with your performance (Prime Contractor if applicant employed as subcontractor):

Name _____ Title _____

Telephone No. (____) _____ Fax No. (____) _____

Prime Contractor (if applicant worked as subcontractor) _____

% of work performed by applicant firm with applicant's own forces _____

Description of work performed by applicant firm _____

****Single projects values only. Do not include maintenance contracts.****

CERTIFICATION AND AUTHORIZATION

I _____, being duly sworn, state that I am
(print full name)

_____ of _____
(print title) (print firm name)

and that I have read and understand the questions and responses contained in the attached application and its appendices.

I certify that to the best of my knowledge the information given in response to each question and the appendices is full, complete and accurate.

I acknowledge that the University of Pennsylvania may, by means it deems appropriate, determine the accuracy and truth of the statements made in this application.

I recognize that all the information submitted is for the express purpose of allowing the University of Pennsylvania to determine responsibility. The information to be provided and the requirements necessary to meet the standards for prequalification are for prequalification purposes only. Additional or different standards are required for each job or project award by the University of Pennsylvania. Those standards and requirements are set forth in each invitation for bid. Prequalification in no way insures the award of contract work.

I authorize the University of Pennsylvania to contact any entity named in the application for purposes of verifying the information supplied by the applicant. A copy of this authorization shall have the same force and effect as the original.

A MATERIAL FALSE STATEMENT OR OMISSION MADE IN CONNECTION WITH THIS APPLICATION IS SUFFICIENT CAUSE FOR DENIAL OF THE APPLICATION OR REVOCATION OF PRIOR APPROVAL THEREBY PRECLUDING THE APPLICANT FROM PERFORMING WORK FOR THE UNIVERSITY OF PENNSYLVANIA FOR A PERIOD OF UP TO THREE (3) YEARS. IN ADDITION, IF FRAUDULENT INFORMATION CONTAINED IN THE APPLICATION IS USED BY THE UNIVERSITY OF PENNSYLVANIA TO MAKE A DETERMINATION OF THE APPLICANT'S "RESPONSIBILITY", THE APPLICANT MAY BE HELD LIABLE FOR ANY COSTS RESULTING FROM THE TERMINATION OF ANY CONTRACT AWARDED TO THE APPLICANT.

Print name

Date

Print Title

Signature